U.S. Department of the Treasury
Internal Revenue Service
Detroit Computing Center - (DCC)

SAR PC Software User Guide

Version 3.0

Table of Contents

Overview 4
System Requirements 5
Installing SAR Version 3.0 6
Maneuvering Through SAR Version 3.0 8
Main Menu Screen 10
User Defaults Section 11
Financial Institution Information 11
Branch Information 12
Preparer Information 12
General Instructions 13
How to Add the Financial Institution Information 13
How to Edit the Financial Institution Information 13
How to Print the Financial Institution Information 13
How to Add a Branch 13
How to Edit a Branch 14
How to Move through multiple Branches 14
How to Delete a Branch 14
How to Print the current Branch 14
How to Add the Preparer Information 14
How to Edit the Preparer Information 15
How to Print the Preparer Information 15
How to Print all the User Default Information at once 15
Return to the Main Menu Screen 15
Create a New SAR Section 16
FI/Branch Data Tab 16
Suspect Data Tab 17
Suspect Data Cont. Tab 18
SAR Data Tab 19
SAR Data Cont. Tab 19
Witness Data Tab 20
Preparer/Contact Data Tab 21
Narrative Tab 21
General Instructions for SAR Creation 22
How to Add the SAR Data 22
How to Edit the SAR Data 22
How to Print the entire SAR (includes Suspect and Witness Data) 22
How to Add a Suspect 22
How to Edit a Suspect 23
How to Move through multiple Suspects 23
How to Delete a Suspect 23
How to Print the current Suspect 23
How to Add a Witness 23
How to Edit a Witness 24

Table of Contents - Continued

How to Move through multiple Witnesses	24
How to Delete a Witness	24
How to Print the current Witness	24
How to Print the Explanation	24
How to Return to the Main Menu	25
Other Features Found in the SAR Data Entry Screens	25
How to Create a New Branch Entry While Working on a SAR	25
To View Help for the Narrative	25
To Paste the Narrative from another Software Package	25
Retrieving an Old SAR	26
General Information	26
Sorting	26
How to Retrieve a SAR	26
Printing SARs	27
General Information	27
Sorting	27
How to Print a single SAR	27
How to Print multiple SARs	28
Printing Reports	29
General Information	29
How to Print the SAR Report	29
How to Print the Suspect Report	29
How to Print the Witness Report	30
How to Print the State & Zip Code Report	30
How to Print selected Countries from the Country Code Report	30
How to Print the entire Country Code Report	31
How to Return to the Main Menu Screen	31
Creating SAR Diskettes	32
General Information	32
How to Create a Diskette for Mailing to the DCC	33
How to Create a Diskette for Backup	34
Importing SARs	37
General Information	37
How to Import SARs	37
Deleting SARs	39
General Information	39
Sorting	39
How to Delete a single SAR	39
How to Delete multiple SARS	39
Appendix A (Examples of the SAR System Screens)	41
Attachment (Form DCC-4419A Application for Magnetic Reporting of SARs)	54

Overview

The SAR PC Program was originally developed to aid Financial Institutions in the paperless preparation of Suspicious Activity Reports. The third version of this program has been upgraded to include the following:

- Year 2000 Compliance
- Improved Database Technologies
- Improved Importing and Exporting Capabilities
- Improved SAR Printing Capabilities
- New Reports
- Ability to import SARs from SAR Version 1.0 and SAR Version 2.0 software packages.

System Requirements

The minimum systems requirements are listed below:

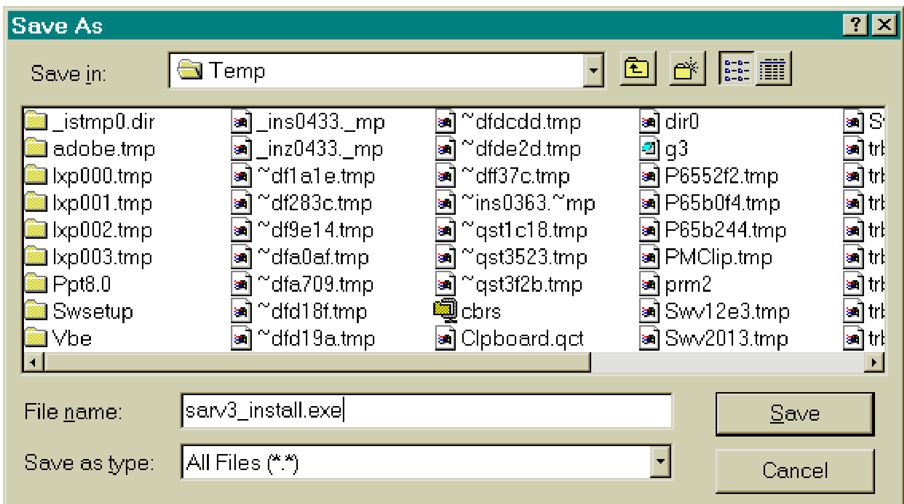
- Pentium Processor
- 16 Mb RAM
- Hard Drive with 30 Mb
- CD-ROM Drive
- 3.5” HD floppy disk drive
- VGA color monitor
- Windows 95/98/NT 4.0
- Mouse
- Printer

<u>Installing & Running SAR Version 3.0</u>

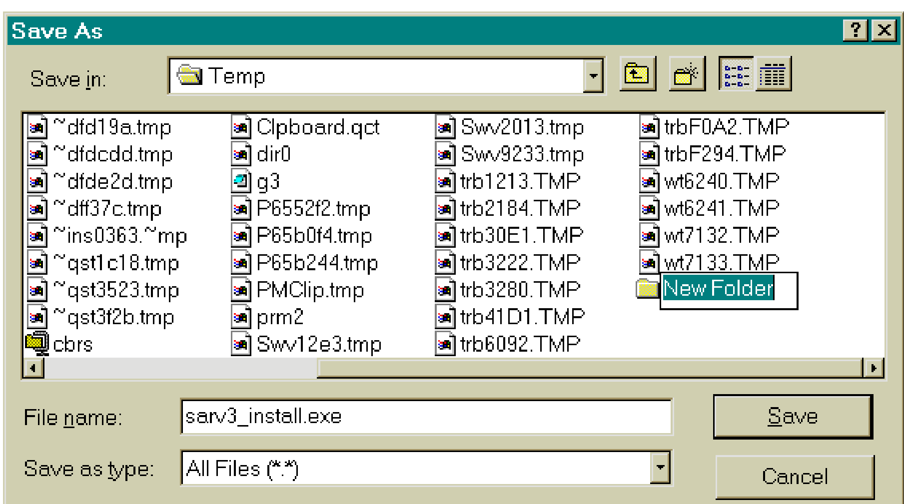
To install the software from the FinCEN Website, follow the steps listed below:

- Download the self-extracting executable into a NEW Directory by clicking on the **<u>sarv3_install.exe</u>** link.

  When you click on the sarv3_install.exe, a ***Save As*** Dialog Box will appear similar to the one below:



  Create a new directory by clicking on the ***New Folder*** Icon,  within the ***Save As*** Dialog Box. The ***Save As*** Dialog Box's appearance will change by creating a new folder with its name highlighted:



Change the name to something meaningful (e.g. SARv3Install) and hit the ***RETURN*** or ***ENTER*** Key on your keyboard to save the folder name.

Move into the folder by double-clicking with your left mouse button on the newly created folder.

Click the ***Save*** Button 

and the executable will be saved into your newly created directory.

- Extract and run the setup program automatically by executing sarv3_install.exe

  In Windows 95/98 or Windows NT 4.0, click on the ***START*** Button and select ***RUN***. If you know the path name to the executable, type it into the box shown; otherwise, locate the executable using the ***BROWSE*** Button.

- Once the setup program is complete, the program will be installed into the directory you specified; the default is C:\Program Files\SAR Version 3.

- Invoke the program by double-clicking on the ICON labeled ***SAR Version 3*** under the ***START/ Programs*** Menu.

To install the software from the diskettes, follow the steps listed below:

- Insert the first diskette into the floppy diskette drive of your computer.

- Click on the Windows ***START*** Menu and choose the ***Run*** Menu Command .

- In the Open Box, type “A:\Setup.exe” and then click the ***OK*** Button.

- The Program Installation will begin. Follow the onscreen instructions to complete the installation of the software.

- Once the setup program is complete, the program will be installed into the directory you specified; the default is C:\Program Files\SAR Version 3.

- Invoke the program by double-clicking on the ICON labeled ***SAR Version 3*** under the ***START/ Programs*** Menu.

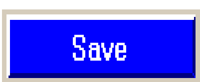
Maneuvering Through SAR Version 3.0

The following list describes common commands that work throughout the system:

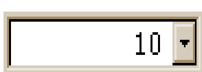
Keyboard Commands	**Response**
TAB	Move forward one field
Shift+TAB	Move backward one field
Ctrl+C	Copy selected text
Ctrl+V	Paste selected text
Ctrl+X	Cut/Delete selected text

The following section shows the different types of objects used in the software and gives a brief description of each:

System Objects | **Data/Response Expected**

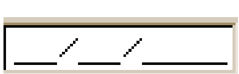


Command Buttons — Use the mouse to click on a Command Button.



Combo Boxes — Use the mouse to click on the arrow to show all the contents of the Combo Box. Use the mouse to select one of the options within the Combo Box.

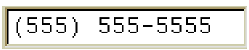
Check Boxes — Use the mouse to select/deselect a Check Box. .



Date Fields — Enter the dates in MM/DD/YYYY format.

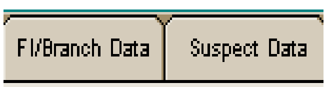
Money Fields

Enter monetary amounts using numeric input only. The field will not except any other type of input. Decimals or commas are not allowed.



Phone Fields

Enter the phone numbers in (###) ###-#### format. The field will only except numeric input.



Section Tabs

These tabs resemble the tabs in a file folder. To move to different parts of the SAR and the User Defaults, use the mouse to click on the tab of the section you wish to work with.

Tool Tips/Hints

When the mouse cursor is placed over a Command Button, a Tool Tip/Hint will appear that gives more information about what will happen if the Command Button is clicked.

Main Menu Screen

The Main Menu Screen is the starting point for the software. You can reach every option within the system from the Main Menu Screen. Please see Exhibit A.1 for an example of this screen. The following list explains the purpose of each option within the system:

Option	**Purpose**
User Defaults	The user should use the User Defaults section to enter information about the Financial Institution, Branches within the Financial Institution and the Preparer of the SARs. The User Defaults section must be filled out before the system will allow you to enter any SAR information.
Create a New SAR	Use this option to begin work on a new SAR. This option will not function until the User Defaults have been filled out.
Retrieve an Old SAR	Use this option to retrieve an old SAR and continue working on it. You may also use this option to retrieve a SAR that has already been filed. If the SAR has been filed, the system will make a copy of it and add it as a new record.
Print SARs	Use this option to print the full SAR. This option also allows you to print multiple SARs.
Reports	Use this option to choose from a variety of reports to print. The following report options are available: • SAR List • Suspect List • Witness List • State and Zip Code List • Country Code List
Create SAR Diskette	Use this option to create a diskette to send the SARs to Detroit or create a backup of your SARs.
Import SARs	Use this option to import SARs into your system that were created on another system or in a previous software version.
Exit	Use this option to leave the system.

User Defaults Section

The User Defaults Section allows the user to input the default information for the Financial Institution, Branches within the Financial Institution and the Preparer Information. To enter this section, click the ***User Defaults*** Button on the Main Menu Screen. This section must be filled out before the system will allow the creation of a SAR report. Only one Financial Institution and one Preparer may be stored in this system. Multiple Branches are allowed. The following table gives information about the fields that are displayed on the User Default Screens. Please see Exhibits A.2 - A.4 in Appendix A for an example of these screens.

Financial Institution Information Tab:

Field Name	***Section Tab***	***Data Expected***	***Field Required***
Financial Institution Name	Financial Institution	The Name of the Financial Institution.	YES
Primary Federal Regulator	Financial Institution	Use the mouse to select one of the five regulators	YES
Address	Financial Institution	Address of the Financial Institution using any combination of text and numbers	YES
City	Financial Institution	City of the Financial Institution using any combination of text and numbers	YES
State	Financial Institution	State of the Financial Institution. A two character entry is expected.	YES
Zip Code	Financial Institution	Zip Code of the Financial Institution. A five or nine digit entry is expected.	YES
EIN	Financial Institution	EIN of the Financial Institution. A nine digit entry is expected.	YES
Transmitter Control Code	Financial Institution	Transmitter Control Code that has been assigned by the DCC. A eight character entry is expected.	YES
Asset Size	Financial Institution	The Asset Size of the Financial Institution. A numeric entry is expected. No commas or decimals are allowed.	NO
Contact Last Name	Financial Institution	The Last Name of the Contact Person at the Financial Institution.	YES
Contact First Name	Financial Institution	The First Name of the Contact Person at the Financial Institution.	YES
Contact Middle Initial	Financial Institution	The Middle Initial of the Contact Person at the Financial Institution.	NO
Contact Title	Financial Institution	The Job Title of the Contact Person at the Financial Institution.	YES
Contact Phone Number	Financial Institution	The Phone Number of the Contact Person at the Financial Institution. A phone number in (###) ###-#### format is expected.	YES

Branch Information Tab:

Field Name	***Section Tab***	***Data Expected***	***Field Required***
Branch Number	Branch	The Branch Number assigned to the Branch. A numeric entry is expected.	YES
Address	Branch	The Address of the Branch.	YES
City	Branch	The City where the Branch is located.	YES
State	Branch	The State where the Branch is located. A two character entry is expected.	YES
Zip Code	Branch	The Zip Code where the Branch is located. A five or nine digit entry is expected.	YES
If Closed, Date Closed	Branch	The date that the Branch closed. The entry is expected to be in MM/DD/YYYY format.	NO
Contact Last Name	Branch	The Last Name of the Contact Person at the Branch.	YES
Contact First Name	Branch	The First Name of the Contact Person at the Branch.	YES
Contact Middle Initial	Branch	The Middle Initial of the Contact Person at the Branch.	NO
Title/Occupation	Branch	The Job Title of the Contact Person at the Branch.	YES
Phone Number	Branch	The Phone Number of the Contact Person at the Branch. A phone number in (###) ###-#### format is expected.	YES
Agency	Branch	The Agency that the Contact Person is affiliated with.	NO

Preparer Information Tab:

Field Name	***Section Tab***	***Data Expected***	***Field Required***
Preparer Last Name	Preparer	The Last Name of the person who prepares the SARs.	YES
Preparer First Name	Preparer	The First Name of the person who prepares the SARs.	YES
Preparer Middle Initial	Preparer	The Middle Initial of the person who prepares the SARs.	NO
Preparer Title	Preparer	The Title of the person who prepares the SARs.	YES
Preparer Phone Number	Preparer	The Phone Number of the person who prepares the SARs. A phone number in (###) ###-#### format is expected.	YES

General Instructions for User Defaults

How to Add the Financial Institution Information:

1. Click on the ***Financial Institution*** Section Tab.
2. Enter the required information in the expected format.
3. Click the ***Save*** Button when finished entering the information.

How to Edit the Financial Institution Information:

1. Click on the ***Financial Institution*** Section Tab.
2. Edit the information as follows:
   - If you are editing a text, phone number, date, or money field, click within the box to place the cursor. Use the ***Backspace*** or ***Delete*** Key to remove the current information. Type in your new information.
   - If you are editing a check box, use the mouse to select or deselect the check box.
   - If you are editing a combo box, use the mouse to select the arrow to display the entire contents of the combo box. Use the mouse to choose your new selection from the combo box.
3. Click the ***Save*** Button when finished editing the information.

* If you edit the Financial Institution Information after you have already filed SARs with the DCC, the Financial Institution Information for the filed SARs will not change to the new information. If you have created SARs, but have not filed them, they will have the latest Financial Institution Information when they are filed. If this happens, the system will return a message that states:

"You have # SARs that you have not filed yet. Changing your default Financial Institution information will put that information onto your unfiled SARs when you create your diskette. Do you wish to continue?", where # equals the total number of unfiled SARs

If this is what you want to do, click the ***Yes*** Button, otherwise click the ***No*** Button.

How to Print the Financial Institution Information:

1. Click on the ***Financial Institution*** Section Tab.
2. Click on the ***Print*** Button that resides within the ***Financial Institution*** Section.
3. When the Print Dialog Box appears, click the ***OK*** Button to print or the ***Cancel*** Button to cancel the operation.

How to Add a Branch:

1. Click on the ***Branch*** Section Tab.
2. Click on the ***New*** Button.
3. Enter the Branch Number in the Dialog Box that appears and then click the ***OK*** Button.
4. Enter the required information in the expected format.
5. Click the ***Save*** Button when finished entering the information.

How to Edit a Branch:

1. Click on the ***Branch*** Section Tab.
2. Edit the information as follows:
   - If you are editing a text, phone number, date, or money field, click within the box to place the cursor. Use the ***Backspace*** or ***Delete*** Key to remove the current information. Type in your new information.
   - If you are editing a check box, use the mouse to select or deselect the check box.
   - If you are editing a combo box, use the mouse to select the arrow to display the entire contents of the combo box. Use the mouse to choose your new selection from the combo box.
3. Click the ***Save*** Button when finished editing the information.

How to Move through multiple Branches:

1. Click on the ***Branch*** Section Tab.
2. To move forward through the Branches, click the ***Next*** Button.
3. To move backward through the Branches, click the ***Previous*** Button.

How to Delete a Branch:

1. Click on the ***Branch*** Section Tab.
2. Use the ***Next*** and ***Previous*** Buttons to move to the Branch that you want to delete.
3. Click the ***Delete*** Button.

How to Print the current Branch:

1. Click on the ***Branch*** Section Tab.
2. Click the ***Print*** Button that resides within the ***Branch*** Section.
3. When the Print Dialog Box appears, click the ***OK*** Button to print or the ***Cancel*** Button to cancel the operation.

How to Add the Preparer Information:

1. Click on the ***SAR Preparer*** Tab.
2. Enter the required information in the expected format.
3. Click the ***Save*** Button when finished entering the information.

How to Edit the Preparer Information:

1. Click on the ***SAR Preparer*** Section Tab.
2. Edit the information as follows:
   - If you are editing a text box, click within the box to place the cursor. Use the ***Backspace*** or ***Delete*** Key to remove the current information. Type in your new information.
   - If you are editing a check box, use the mouse to select or deselect the check box.
   - If you are editing a combo box, use the mouse to select the arrow to display the entire contents of the combo box. Use the mouse to choose your new selection from the combo box.
3. Click the ***Save*** Button when finished editing the information.

How to Print the Preparer Information:

1. Click on the ***SAR Preparer*** Section Tab.
2. Click on the ***Print*** Button that resides within the ***SAR Preparer*** Section.
3. When the ***Print*** Dialog Box appears, click the ***OK*** Button to print or the ***Cancel*** Button to cancel the operation.

How to Print all the User Default Information at once:

1. Click on the ***Print*** Button that resides near the bottom of the screen, next to the ***Return to Main Menu*** Button.
2. When the ***Print*** Dialog Box appears, click the ***OK*** Button to print or the ***Cancel*** Button to cancel the operation.

Return to the Main Menu Screen:

1. Click the ***Return to Main Menu*** Button.

Create a New SAR Section

The Create a New SAR Section allows the user to add new SARs to the system. When a SAR is input, the user needs to remember that up to 99 Suspects and Witnesses are allowed per SAR. The Narrative/Description part of the SAR will hold approximately 32K or 32,000 bytes. For reference purposes, 1 byte is generally equivalent to 1 character. To enter this section, click the ***Create a New SAR*** Button on the Main Menu Screen. The following tables give information about the fields that are displayed on the SAR Information Screens. Please see Exhibits A.5 - A.14 in Appendix A for an example of these screens.

FI/Branch Data Tab:

Field Name	***Section Tab***	***Data Expected***	***Field Required***
Check Appropriate Box	FI/Branch Data	Check Initial Report, Corrected Report or Supplemental Report.	YES
Name of Financial Institution	FI/Branch Data	Automatically retrieved from User Defaults.	YES
EIN	FI/Branch Data	Automatically retrieved from User Defaults.	YES
Address of Financial Institution	FI/Branch Data	Automatically retrieved from User Defaults.	YES
Primary Federal Regulator	FI/Branch Data	Automatically retrieved from User Defaults.	YES
City	FI/Branch Data	Automatically retrieved from User Defaults.	YES
State	FI/Branch Data	Automatically retrieved from User Defaults.	YES
Zip	FI/Branch Data	Automatically retrieved from User Defaults.	YES
Branch Code	FI/Branch Data	Select the Branch Code from the Combo Box.	NO
Address of Branch Office(s) where activity occurred	FI/Branch Data	The Address of the Branch Office.	YES
Asset Size of Financial Institution	FI/Branch Data	Automatically retrieved from User Defaults.	YES
City	FI/Branch Data	The City that the Branch Office resides in.	YES
State	FI/Branch Data	The State that the Branch Office resides in. A two character abbreviation is expected.	YES
Zip	FI/Branch Data	The Zip Code that the Branch Office resides in. A five or nine digit numeric entry is expected.	YES
If institution closed, date closed	FI/Branch Data	The date that the institution closed, if applicable. A date in MM/DD/YYYY format is expected.	NO
Account numbers(s) affected, if any	FI/Branch Data	The Account Numbers of any affected account. There are two input boxes for a maximum of two account number entries.	NO
Have any of the institution's accounts related to this matter been closed	FI/Branch Data	Check Yes or No. If Yes, input the account number of the account that was closed.	NO

Suspect Data Tab:

Field Name	***Section Tab***	***Data Expected***	***Field Required***
Last Name or Name of Entity	Suspect Data	The Last Name of the Suspect or the Entity.	NO
First Name	Suspect Data	The First Name of the Suspect.	NO
Middle	Suspect Data	The Middle Initial of the Suspect.	NO
Address	Suspect Data	The Address of the Suspect or Entity.	NO
SSN, EIN, or TIN	Suspect Data	The SSN, EIN or TIN of the Suspect or Entity.	NO
City	Suspect Data	The City where the Suspect or Entity resides.	NO
State	Suspect Data	The State where the Suspect or Entity resides. A two character abbreviation is expected.	NO
Zip Code	Suspect Data	The Zip Code where the Suspect or Entity resides. A five or nine digit numeric entry is expected.	NO
Country	Suspect Data	The Country where the Suspect or Entity resides. A two character abbreviation is expected.	NO
Date of Birth	Suspect Data	The Date of Birth of the Suspect. The date is expected to be in MM/DD/YYYY format.	NO
Phone Number - Residence	Suspect Data	The Home Phone Number of the Suspect . The phone number is expected to be in (###) ###-#### format.	NO
Phone Number - Work	Suspect Data	The Work Phone Number of the Suspect. The phone number is expected to be in (###) ###-#### format.	NO
Occupation/Type of Business	Suspect Data	The Occupation of the Suspect or the Type of Business of the Entity.	NO

* If no suspect was identified on the date of detection of the incident requiring the filing, a Financial Institution may delay filing a Suspicious Activity Report (SAR) for an additional 30 calendar days to identify a suspect. In no case shall reporting be delayed more than 60 calendar days after the date of initial detection of a reportable transaction. Due to the importance of this information, it is hoped that all possible measures will be taken to identify the suspect biographical data.

Suspect Data Cont Tab:

Field Name	***Section Tab***	***Data Expected***	***Field Required***
Forms of Identification for Suspect	Suspect Data Cont.	Check one of the following Identification Types: 1. Driver's License/State ID 2. Passport 3. Alien Registration 4. Other - if checked, include description of the ID	NO
Number	Suspect Data Cont.	The number from the Identification.	NO
Issuing Authority	Suspect Data Cont.	The state/country that issued the ID. A two character abbreviation is expected.	NO
Relationship to Financial Institution	Suspect Data Cont.	Check a maximum of four of the following: 1. Accountant 2. Agent 3. Appraiser 4. Attorney 5. Borrower 6. Broker 7. Customer 8. Director 9. Employee 10. Officer 11. Shareholder 12. Other - if checked, include description of relationship	NO
Is insider suspect still affiliated with the financial institution	Suspect Data Cont.	If the suspect was an insider and still affiliated with the Financial Institution, check Yes. If the insider is no longer affiliated, check No and then check whether the Suspect was Suspended, Terminated or Resigned.	NO
Date of Suspension, Termination, Resignation	Suspect Data Cont.	The date that the Suspect was Suspended, Terminated or Resigned. A date in MM/DD/YYYY format is expected.	NO
Admission/Confession	Suspect Data Cont.	If the Suspect confessed, check Yes. Otherwise, check No.	NO

SAR Data Tab:

Field Name	***Section Tab***	***Data Expected***	***Field Required***
Date of suspicious activity	SAR Data	The date that the suspicious activity occurred. A date in MM/DD/YYYY format is expected.	YES
Total dollar amount involved in known or suspicious activity	SAR Data	The amount of money involved in the suspicious activity. A numeric entry is expect. No commas or decimals are allowed.	NO
Suspicious Activity Type	SAR Data	Check a maximum of four of the following: 1. Bank Secrecy Act/Structuring/Money Laundering 2. Bribery/Gratuity 3. Check Fraud 4. Check Kiting 5. Commercial Loan Fraud 6. Consumer Loan Fraud 7. Counterfeit Check 8. Counterfeit Credit/Debit Card 9. Counterfeit Instrument (other) 10. Credit Card Fraud 11. Debit Card Fraud 12. Defalcation/Embezzlement 13. False Statement 14. Misuse of Position or Self Dealing 15. Mortgage Loan Fraud 16. Mysterious Disappearance 17. Wire Transfer Fraud 18. Other - if other, include a description of the suspicious activity.	NO

SAR Data Cont Tab:

Field Name	***Section Tab***	***Data Expected***	***Field Required***
Amount of loss prior to recovery	SAR Data Cont.	The amount of money lost prior to recovery. A numeric entry is expect. No commas or decimals are allowed.	NO
Dollar amount of recovery	SAR Data Cont.	The amount of money recovered. A numeric entry is expected. No commas or decimals are allowed.	NO
Has the suspicious activity had a material impact on, or otherwise affected the financial soundness of, the institution	SAR Data Cont.	If the activity had a material impact or affected the financial soundness or the institution, check Yes. Otherwise, check No.	NO
Has the institution's bonding company been notified	SAR Data Cont.	If the bonding company has been notified, check Yes. Otherwise, check No.	NO
Agency Name	SAR Data Cont.	The Agency Name of the Law Enforcement Agency that was contacted.	NO
Address	SAR Data Cont.	The Address of the Law Enforcement Agency.	NO
City	SAR Data Cont.	The City that the Law Enforcement Agency resides in.	NO
State	SAR Data Cont.	The State that the Law Enforcement Agency resides in. A two character abbreviation is expected.	NO
Zip Code	SAR Data Cont.	The Zip Code that the Law Enforcement Agency resides in. A five or nine digit numeric entry is expected.	NO

Witness Data Tab:

Field Name	***Section Tab***	***Data Expected***	***Field Required***
Last Name	Witness Data	The Last Name of the Witness	NO
First Name	Witness Data	The First Name of the Witness	NO
Middle	Witness Data	The Middle Initial of the Witness	NO
Address	Witness Data	The Address of the Witness	NO
SSN	Witness Data	The SSN of the Witness	NO
City	Witness Data	The City that the Witness resides in.	NO
State	Witness Data	The State that the Witness resides in. A two character abbreviation is expected.	NO
Zip Code	Witness Data	The Zip code that the Witness resides in. A five or nine digit numeric entry is expected.	NO
Date of Birth	Witness Data	The Date of Birth of the Witness. A date in MM/DD/YYYY format is expected.	NO
Title/Occupation	Witness Data	The Title/Occupation of the Witness.	NO
Phone Number	Witness Data	The Phone Number of the Witness. A phone number in (###) ###-#### format is expected.	NO
Interviewed	Witness Data	If the Witness was interviewed, check Yes. Otherwise, check No.	NO

Preparer/Contact Data Tab:

Field Name	***Section Tab***	***Data Expected***	***Field Required***
Last Name	Preparer/Contact Data	The Last Name of the Preparer. This information is automatically retrieved from the User Defaults.	NO
First Name	Preparer/Contact Data	The First Name of the Preparer. This information is automatically retrieved from the User Defaults.	NO
Middle Initial	Preparer/Contact Data	The Middle Initial of the Preparer. This information is automatically retrieved from the User Defaults.	NO
Title	Preparer/Contact Data	The Title of the Preparer. This information is automatically retrieved from the User Defaults.	NO
Phone Number	Preparer/Contact Data	The Phone Number of the Preparer. This information is automatically retrieved from the User Defaults.	NO
Date	Preparer/Contact Data	The date that the SAR was filed. The current system date is captured by the system.	YES
Last Name	Preparer/Contact Data	The Last Name of the Contact. This data is only needed if the Contact Person is different from the Preparer.	NO
First Name	Preparer/Contact Data	The First Name of the Contact. This data is only needed if the Contact Person is different from the Preparer.	NO
Middle Initial	Preparer/Contact Data	The Middle Initial of the Contact. This data is only needed if the Contact Person is different from the Preparer.	NO
Title/Occupation	Preparer/Contact Data	The Title/Occupation of the Contact Person. This data is only needed if the Contact Person is different from the Preparer.	NO
Phone Number	Preparer/Contact Data	The Phone Number of the Contact Person. This data is only needed if the Contact Person is different from the Preparer. A phone number in (###) ###-#### format is expected.	NO
Agency (if not filed by financial institution)	Preparer/Contact Data	The Agency that the Contact Person is affiliated with. This data is only needed if the Contact Person is different from the Preparer.	NO

Narrative Tab:

Field Name	***Section Tab***	***Data Expected***	***Field Required***
Explanation/Description	Narrative	The explanation/description of the suspicious activity.	YES

General Instructions for SAR Creation

How to Add the SAR Data:

1. Click on the ***FI/Branch***, ***SAR Data***, ***Preparer/Contact Data*** and ***Narrative*** Section Tabs to input the information in the expected formats.
2. See below to add Suspect Data.
3. See below to add Witness Data.
4. Click on the ***Save*** Button that resides at the bottom of the screen, to the left of the ***Return to Main Menu*** Button when finished entering the information.

How to Edit the SAR Data:

1. Click on the ***FI/Branch***, ***SAR Data***, ***Preparer/Contact Data*** or ***Narrative*** Section Tabs.
2. Edit the information as follows:
   - If you are editing a text, phone number, date, or money field, click within the box to place the cursor. Use the ***Backspace*** or ***Delete*** Key to remove the current information. Type in your new information.
   - If you are editing a check box, use the mouse to select or deselect the check box.
   - If you are editing a combo box, use the mouse to select the arrow to display the entire contents of the combo box. Use the mouse to choose your new selection from the combo box.
3. See below to edit Suspect Data.
4. See below to edit Witness Data.
5. Click on the ***Save*** Button that resides at the bottom of the screen, to the left of the ***Return to Main Menu*** Button when finished editing the information.

How to Print the entire SAR (includes Suspect and Witness Data):

1. From any Section Tab, click the ***Print*** Button that resides at the bottom of the screen, to the right of the ***Return to Main Menu*** Button.
2. When the Print Dialog Box appears, click the ***OK*** Button to print or the ***Cancel*** Button to cancel the operation.

How to Add a Suspect:

1. Click on the ***Suspect Data*** Section Tab or the ***Suspect Data Cont.*** Section Tab.
2. Everytime that you start a new SAR, the system will be ready to accept the first Suspect without the user having to click the ***New*** Button. Please remember that this only works for the first Suspect. If you need to add more than one Suspect to the SAR, you will have to click the ***New*** Button to reset the fields so that they will accept the additional Suspect Data.
3. Because of the size of the Suspect Data, it was necessary to separate the Suspect Data between two Section Tabs. To enter all the information for the Suspect Data, you will find it necessary

to click between the two Suspect Section Tabs.

4. Click the ***Save*** Button that resides within the ***Suspect Data*** Section Tab or the ***Suspect Data Cont.*** Section Tab when finished entering the information.

How to Edit a Suspect:

1. Click on the ***Suspect Data*** Section Tab or the ***Suspect Data Cont.*** Section Tab.
2. Edit the information as follows:
   - If you are editing a text, phone number, date or money field, click within the box to place the cursor. Use the ***Backspace*** or ***Delete*** Key to remove the current information. Type in your new information.
   - If you are editing a check box, use the mouse to select or deselect the check box.
   - If you are editing a combo box, use the mouse to select the arrow to display the entire contents of the combo box. Use the mouse to choose your new selection from the combo box.
3. Click the ***Save*** Button that resides within the ***Suspect Data*** Section Tab or the ***Suspect Data Cont.*** Section Tab when finished editing the information.

How to Move through multiple Suspects:

1. Click on the ***Suspect Data*** Section Tab or the ***Suspect Data Cont.*** Section Tab.
2. To move forward through the Suspects, click the ***Next*** Button
3. To move backward through the Suspects, click the ***Previous*** Button.

How to Delete a Suspect:

1. Click on the ***Suspect Data*** Section Tab or the ***Suspect Data Cont.*** Section Tab.
2. Use the ***Next*** and ***Previous*** Buttons to move to the Suspect that you want to delete.
3. Click the ***Delete*** Button.

How to Print the current Suspect:

1. Click on the ***Suspect Data*** Section Tab or the ***Suspect Data Cont.*** Section Tab.
2. Click the ***Print*** Button that resides within the ***Suspect Data*** Section Tab or the ***Suspect Data Cont.*** Section Tab.
3. When the Print Dialog Box appears, click the ***OK*** Button to print or the ***Cancel*** Button to cancel the operation.

How to Add a Witness:

1. Click on the ***Witness Data*** Section Tab.
2. Everytime that you start a new SAR, the system will be ready to accept the first Witness without the user having to click the ***New*** Button. Please remember that this only works for the first Witness. If you need to add more than one Witness to the SAR, you will have to

click the ***New*** Button to reset the fields so that they will accept the additional Witness Data.
3. Click the ***Save*** Button that resides within the ***Witness Data*** Section Tab when finished entering the information.

How to Edit a Witness:

1. Click on the ***Witness Data*** Section Tab.
2. Edit the information as follows:
   - If you are editing a text, phone number, date or money field, click within the box to place the cursor. Use the ***Backspace*** or ***Delete*** Key to remove the current information. Type in your new information.
   - If you are editing a check box, use the mouse to select or deselect the check box.
   - If you are editing a combo box, use the mouse to select the arrow to display the entire contents of the combo box. Use the mouse to choose your new selection from the combo box.
3. Click the ***Save*** Button that resides within the ***Witness Data*** Section Tab editing the information.

How to Move through multiple Witnesses:

1. Click on the ***Witness Data*** Section Tab.
2. To move forward through the Witnesses, click the ***Next*** Button
3. To move backward through the Witnesses, click the ***Previous*** Button.

How to Delete a Witness:

1. Click on the ***Witness Data*** Section Tab.
2. Use the ***Next*** and ***Previous*** Buttons to move to the Witness that you want to delete.
3. Click the ***Delete*** Button.

How to Print the current Witness:

1. Click on the ***Witness Data*** Section Tab.
2. Click the ***Print*** Button that resides within the ***Witness Data*** Section Tab.
3. When the Print Dialog Box appears, click the ***OK*** Button to print or the ***Cancel*** Button to cancel the operation.

How to Print the Explanation:

1. Click on the ***Narrative*** Section Tab.
2. Click the ***Print Explanation*** Button.
3. When the Print Dialog Box appears, click the OK Button to print or the ***Cancel*** Button to cancel the operation.

How to Return to the Main Menu:

1. Click the ***Return to Main Menu*** Button.

Other Features Found in the SAR Data Entry Screens

How to Create a New Branch Entry While Working on a SAR:

1. Click on the ***FI/Branch Data*** Section Tab.
2. Click on the ***New*** Button.
3. A Dialog Box will appear with the title ***Adding a new branch while working on a SAR***.
4. Enter the information for the new Branch using the expected formats.
5. Click the ***OK*** Button to save the information, or the ***Cancel*** Button to cancel the operation.

To View Help for the Narrative:

1. Click on the ***Narrative*** Section Tab.
2. Click the ***Help*** Button.
3. A Dialog Box will appear with the title ***Help for SAR Explanation***. After viewing it, click the ***OK*** button to return to the SAR Data Entry Screens.

To Paste the Narrative from another Software Package:

1. Select the text from the Software Package that you are using. An example would be Microsoft Word or WordPerfect.
2. Copy the text using the menu options in the Software Package or the Key Combination of CTRL+C.
3. Click on the ***Narrative*** Section Tab.
4. Click in the text area to place the cursor.
5. Paste the copied text by clicking on the ***Paste*** Button or using the Key Combination of CTRL+V.

Retrieving an Old SAR

General Information:

When you click on the ***Retrieve an Old SAR*** Button from the ***Main Menu*** Screen, a data grid will appear that contains all of the SARs that you have previously created. The data grid contains the following information about each SAR:

Column	Information Displayed
Date	Lists the Date that the SAR was input into the system
Time	Lists the Time that the SAR was input into the system
Branch	Lists the Branch Code
Suspect Last Name	Displays the Last Name of the Suspect
Filed	Displays a Y if this SAR has been filed and sent to the DCC

To see an example of this data grid, please see Exhibit A.15

Sorting:

The Buttons at the top of each column allow you to sort the data grid. By default, the data grid is sorted by the Date column in Ascending order. What this means is that the oldest date is displayed first in the data grid. When you first look at the data grid, the Date button will have an arrow pointing up. This tells you that the column is sorted in Ascending order. If you wanted to sort in Descending order (the most recent date is displayed first), you would need to click the button once. The sort order will change. The direction of the arrow on the button will now be pointing down. This is your indicator that the sort has taken place. You may sort on any button at the top of the data grid.

How to Retrieve a SAR:

1. Click on the ***Retrieve an Old SAR*** Button from the Main Menu Screen.
2. Click on any SAR in the data grid to highlight it.
3. Click on the ***OK*** Button to select the SAR and continue into the SAR Data Entry Screens, or click the ***Cancel*** Button to return to the ***Main Menu*** Screen.
4. If the SAR that you have retrieved has already been filed with the DCC, you will not be allowed to make changes to the SAR. When you highlight the SAR and retrieve it, the system makes a copy of the SAR and allows you to edit the copy. When you click the ***Save*** Button to save the changes, the copy is saved with the new information and the filed SAR is left unchanged.
5. See the instructions for ***Creating a New SAR*** if you have questions about editing an Old SAR.

Printing SARs

General Information:

When you click on the ***Print SARs*** Button from the ***Main Menu*** Screen, a data grid will appear that contains all of the SARs that you have previously created. The data grid contains the following information about each SAR:

Column	Information Displayed
Date	Lists the Date that the SAR was input into the system
Time	Lists the Time that the SAR was input into the system
Branch	Lists the Branch Code
Suspect Last Name	Displays the Last Name of the Suspect
Filed	Displays a Y if this SAR has been filed and sent to the DCC

To see an example of this data grid, please see Exhibit A.16

Sorting:

The Buttons at the top of each column allow you to sort the data grid. By default, the data grid is sorted by the Date column in Ascending order. What this means is that the oldest date is displayed first in the data grid. When you first look at the data grid, the Date button will have an arrow pointing up. This tells you that the column is sorted in Ascending order. If you wanted to sort in Descending order (the most recent date is displayed first), you would need to click the button once. The sort order will change. The direction of the arrow on the button will now be pointing down. This is your indicator that the sort has taken place. You may sort on any button at the top of the data grid.

How to Print a single SAR:

1. Click on the ***Print SARs*** Button from the Main Menu Screen.
2. Click on any SAR in the data grid to highlight it.
3. Click on the ***Print*** Button to select the SAR and send it to the printer, or click the ***Cancel*** Button to return to the ***Main Menu*** Screen.
4. The ***Printer*** Dialog Box will appear. Click the ***OK*** Button to start the printing process. When the SAR has been sent to the printer, a message will return from the system that states "Your SARs have been sent to print.". Click the ***OK*** Button in the message box. The system will return to the ***Main Menu*** Screen.

How to Print multiple SARs:

1. Click on the ***Print SARs*** Button from the Main Menu Screen
2. Click on multiple SARs in the data grid to highlight them. To select multiple SARs, use one of the following techniques:
   A. Click on the first SAR with the mouse and hold the mouse button down. Drag the mouse pointer to the last record that you want to print and then let the mouse button go. All the records between the first SAR selected and the last SAR selected should be highlighted.
   B. Click on the first SAR with the mouse and let the mouse button go. Hold down the ***SHIFT*** Key and move the mouse pointer to the last record that you want to print. Click on it with the mouse and then let the ***SHIFT*** Key go. All the records between the first SAR selected and the last SAR selected should be highlighted.
   C. Click on the first SAR with mouse and let the mouse button go. Hold down the ***CTRL*** Key and move the mouse pointer over the next record that you want to print. Click on it with the mouse. Continue to do this until you have selected all the SARs that you want to print. After you have selected your last SAR, let the ***CTRL*** Key go. This method allows you to select SARs in any order. An example of this would be selecting the first, fifth and ninth SARs to print. Only those rows should be highlighted when this process has been completed.
3. Click on the ***Print*** Button to select the SARs and send them to the printer, or click the ***Cancel*** Button to return to the ***Main Menu*** Screen.
4. The ***Printer*** Dialog Box will appear. Click the ***OK*** Button to start the printing process. When the SARs have been sent to the printer, a message will return from the system that states "Your SARs have been sent to print.". Click the ***OK*** Button in the message box. The system will return to the ***Main Menu*** Screen.

Printing Reports

General Information:

When you click on the ***Reports*** Button from the ***Main Menu*** Screen, the SAR Queries and Reports Screen will appear with the following Command Button options:

Command Button	**Purpose**
SAR Report	Prints a report listing all of the SARs stored in the system.
Suspect Report	Prints a report listing all of the Suspects stored in the system.
Witness Report	Prints a report listing all of the Witnesses stored in the system.
State & Zip Code Report	Prints a report listing States and Territory abbreviations within the United States and valid Zip Codes for each.
Country Code Report	Prints a report listing Country Names and Abbreviations.
Return to Main Menu	Returns the user to the Main Menu Screen.

To see examples of these screens, please see Exhibits A.17-A.22

How to Print the SAR Report:

1. Click the ***SAR Report*** Button from the ***SAR Queries and Reports*** Screen.
2. A data grid will appear listing all of the SARs stored in the system. If desired, use the Buttons at the top of each column to sort the data. For an explanation on sorting, see the sorting section in ***Retrieving an Old SAR*** or ***Printing SARs***.
3. Click the ***Print*** Button to send the list to the printer, or click the ***Cancel*** Button to return to the ***SAR Queries and Reports*** Screen.
4. The ***Printer*** Dialog Box will appear. Click the ***OK*** Button to start the printing process. When the report has been sent to the printer, a message will return from the system that states "Your report has been sent to print.". Click the ***OK*** Button in the message box. The system will return to the ***SAR Queries and Reports*** Screen.

How to Print the Suspect Report:

1. Click on the ***Suspect Report*** Button from the ***SAR Queries and Reports*** Screen.
2. A data grid will appear listing all of the Suspects stored in the system. If desired, use the Buttons at the top of each column to sort the data. For an explanation on sorting, see the sorting section in ***Retrieving an Old SAR*** or ***Printing SARs***.
3. Click the ***Print*** Button to send the list to the printer, or click the ***Cancel*** Button to return to the ***SAR Queries and Reports*** Screen.

4. The ***Printer*** Dialog Box will appear. Click the ***OK*** Button to start the printing process. When the Report has been sent to the printer, a message will return from the system that states "Your report has been sent to print.". Click the ***OK*** Button in the message box. The system will return to the ***SAR Queries and Reports*** Screen.

How to Print the Witness Report:

1. Click on the ***Witness Report*** Button from the ***SAR Queries and Reports*** Screen.
2. A data grid will appear listing all of the Witnesses stored in the system. If desired, use the Buttons at the top of each column to sort the data. For an explanation on sorting, see the sorting section in ***Retrieving an Old SAR*** or ***Printing SARs***.
3. Click the ***Print*** Button to send the list to the printer, or click the ***Cancel*** Button to return to the ***SAR Queries and Reports*** Screen.
4. The ***Printer*** Dialog Box will appear. Click the ***OK*** Button to start the printing process. When the Report has been sent to the printer, a message will return from the system that states "Your report has been sent to print.". Click the ***OK*** Button in the message box. The system will return to the ***SAR Queries and Reports*** Screen.

How to Print the State & Zip Code Report:

1. Click on the ***State & Zip Code Report*** Button from the ***SAR Queries and Reports*** Screen.
2. A data grid will appear listing abbreviation and zip code information about all of the States and Territories in the United States.
3. Click the ***Print*** Button to send the list to the printer, or click the ***Cancel*** Button to return to the ***SAR Queries and Reports*** Screen.
4. The ***Printer*** Dialog Box will appear. Click the ***OK*** Button to start the printing process. When the Report has been sent to the printer, a message will return from the system that states "Your report has been sent to print.". Click the ***OK*** Button in the message box. The system will return to the ***SAR Queries and Reports*** Screen.

How to Print selected Countries from the Country Code Report:

1. Click on the ***Country Code Report*** Button from the ***SAR Queries and Reports*** Screen.
2. A data grid will appear listing abbreviation information for all of the Countries.
3. Click on multiple Countries in the data grid to highlight them. To select multiple Countries, use one of the following techniques:
   A. Click on the first Country with the mouse and hold the mouse button down. Drag the mouse pointer to the last Country that you want to print and then let the mouse button go. All the Countries between the first Country selected and the last Country selected should be highlighted.
   B. Click on the first Country with the mouse and let the mouse button go. Hold down the ***SHIFT*** Key and move the mouse pointer to the last Country that you want to print. Click on it with the mouse and then let the SHIFT Key go. All the Countries between the first Country selected and the last Country selected should be highlighted.
   C. Click on the first Country with the mouse and let the mouse button go. Hold down the

CTRL Key and move the mouse pointer over the next Country that you want to print. Click on it with the mouse. Continue to do this until you have selected all the Countries that you want to print. After you have selected your last Country, let the *CTRL* Key go. This method allows you to select Countries in any order. An example of this would be selecting the first, fifth and ninth Countries to print. Only those rows should be highlighted when this process has been completed.

3. Click the ***Print Selected*** Button to send the list to the printer, or click the ***Cancel*** Button to return to the ***SAR Queries and Reports*** Screen.
4. The ***Printer*** Dialog Box will appear. Click the ***OK*** Button to start the printing process. When the Report has been sent to the printer, a message will return from the system that states "Your report has been sent to print.". Click the ***OK*** Button in the message box.
5. Click the ***Cancel*** Button to return to the ***SAR Queries and Reports*** Screen.

How to Print the entire Country Code Report:

1. Click on the ***Country Code Report*** Button from the SAR Queries and Reports Screen.
2. A data grid will appear listing abbreviation information for all of the Countries.
3. Click the Print All Button to send the list to the printer, or click the Cancel Button to return to the SAR Queries and Reports Screen.
4. A message will return from the system that asks "Are you sure that you want to print all of the country information? (It will be several pages)". If you want to print the entire list, click the ***Yes*** Button, otherwise click the ***No*** Button and follow the instructions listed in the previous section for printing selected Countries.
5. The ***Printer*** Dialog Box will appear. Click the ***OK*** Button to start the printing process. When the Report has been sent to the printer, a message will return from the system that states "Your report has been sent to print.". Click the ***OK*** Button in the message box.
6. Click the ***Cancel*** Button to return to the ***SAR Queries and Reports*** Screen.

How to Return to the Main Menu Screen:

1. Click the ***Return to Main Menu*** Button.

Creating SAR Diskettes

General Information:

- Drives are the letters assigned to the different storage devices in your computer system. <A> typically stands for the Floppy Diskette Drive and <C> typically stands for the Hard Drive. For the remainder of this section, they will be referred to as <A> and <C>. Directories are file storage locations on Drives. A Directory can be thought of as a folder. Within each Directory or folder, you can store files. The complete structure of a filename is as follows:

  [Drive]:\[Directory]\FileName

- To see an example of this screen, please see Exhibit A.23

- The data grid that is on the screen is similar to those you have encountered in other parts of the system. If desired, use the Buttons at the top of each column to sort the data. For an explanation on sorting, please see the sorting section in ***Retrieving an Old SAR*** or ***Printing SARs***.

- The File Information Section of this screen contains the following information:

Output File Name	Includes the File Name, along with the Drive and Directory locations.
Drive & Directory Box	Allows you to select the Drive and Directory where you would like to save the output file.
File Type/Purpose	Allows you to choose the type of file that you want to create. The options are to create a Backup/Consolidation File or to Create a Diskette for Mailing to the DCC.

- You cannot change the names of the files created. You may change the Drive and Directory that you store them to. If you are creating a diskette for mailing, the file name will be SARMAG. If you are creating a backup or consolidation, the file name will be BACKUP. The Drive and Directory will vary. For example, if you wanted to create a diskette for mailing and were using the <A> Drive, the name in the ***Output File Name*** Box would be:

  A:\SARMAG

  Another example is if you wanted to create a diskette for mailing, but wanted to store the SARMAG file to your <C> Drive in the Windows Directory until you are ready to copy the file to a Floppy Diskette, the name in the ***Output File Name*** Box would be:

  C:\Windows\SARMAG

The same rules apply when creating backup or consolidation files. The only change for this would be the SARMAG file name would be replaced by the BACKUP file name. This would look as follows in the ***Output File Name*** Box:

A:\BACKUP
C:\Windows\BACKUP

- At the bottom of the screen, you have the option of choosing a date range for creating your files.

How to Create a Diskette for Mailing to the DCC:

1. If you want to save the file to the <A> Drive, the easiest thing to do is to insert the diskette into the <A> Drive before you click on the ***Create SAR Diskette*** Button from the ***Main Menu*** Screen. The ***Creating SAR(s)*** Screen will appear. The default option on this screen is to Create a Diskette for Mailing. Because of this, the system automatically tries to access the <A> Drive of your computer system. If there is no diskette present, an error message will return from the system that states:

   "There is an error with your a: drive. This is probably because there is no diskette in that drive. You can put a diskette in the drive and re-select a:".

   If you want to use a diskette, put one in the <A> Drive and then click the ***Retry*** Button. If you would like to save your file to the <C> Drive, click the ***Cancel*** Button.

2. If you are saving the file to the <A> Drive, all of the File Information options should already be set. They should appear as follows:

   - Output File Name: A:\SARMAG
   - The Drive and Directory Box should show the <A> Drive selected
   - The File Type/Purpose should be Create Diskette for Mailing

   If you are saving to any other Drive and/or Directory, your options will be set to the following:

   - Output File Name: [Drive]:\[Directory]\SARMAG
   - The Drive and Directory Box should show the Drive and Directory you have selected
   - The File Type/Purpose should be Create Diskette for Mailing

3. At this point you would want to select the SARs to include in the SARMAG file. You have two options available to you, as described below:

   A. You may select the SARs from the data grid at the top of the screen. To accomplish this, use one of the following techniques:

      1. Click on the first SAR with the mouse and hold the mouse button down. Drag the mouse pointer to the last record that you want to include and then let the mouse button

go. All the records between the first SAR selected and the last SAR selected should be highlighted.

2. Click on the first SAR with the mouse and let the mouse button go. Hold down the ***SHIFT*** Key and move the mouse pointer to the last record that you want to include. Click on it with the mouse and then let the ***SHIFT*** Key go. All the records between the first SAR selected and the last SAR selected should be highlighted.

3. Click on the first SAR with the mouse and let the mouse button go. Hold down the ***CTRL*** Key and move the mouse pointer over the next record that you want to include. Click on it with the mouse. Continue to do this until you have selected all the SARs that you want to include on the SARMAG file. After you have selected your last SAR, let the ***CTRL*** Key go. This method allows you to select SARs in any order. An example of this would be selecting the first, fifth and ninth SARs to include on the SARMAG file. Only those rows should be highlighted when this process has been completed.

B. You may select the SARs by using the date range feature at the bottom of the screen. You must input a Start and End Date in MM/DD/YYYY format.

4. To create the SARMAG file, you must click one of the ***Create*** Buttons that is displayed on the screen. If you selected SARs using the data grid, click the ***Create*** Button just beneath it. If you selected SARs using the date range feature, click the ***Create*** Button at the bottom of the screen.

5. If you already have a SARMAG file stored in the Drive and Directory location, a message will return from the system that states:

   "File '[DRIVE]:\[DIRECTORY]\SARMAG' Already exists. Do you want to replace it?"

   Click the ***Yes*** Button to overwrite the existing file. Click the ***No*** Button to cancel the operation.

6. Once the SARMAG file has been created, the system will return a message that states:

   "Your file ([DRIVE]:\[DIRECTORY]\SARMAG) has been created."

   Click the ***OK*** Button in the message box. The system will return to the ***Main Menu*** Screen.

How to Create a Diskette For Backup:

1. If you want to save the file to the <A> Drive, the easiest thing to do is to insert the diskette into the <A> Drive before you click on the ***Create SAR Diskette*** Button from the ***Main Menu*** Screen. The ***Creating SAR(s)*** Screen will appear. The default option on this screen is to Create a Diskette for Mailing. Because of this, the system automatically tries to access the <A> Drive of your computer system. If there is no diskette present, an error message will return from the system that states:

“There is an error with your a: drive. This is probably because there is no diskette in that drive. You can put a diskette in the drive and re-select a:”.

If you want to use a diskette to Backup your data, put one in the <A> Drive and then click the ***Retry*** Button. If you would like to Backup your file to the <C> Drive, click the ***Cancel*** Button.

2. If you are saving the file to the <A> Drive, all of the File Information options should be set except for the File Type/Purpose. It should be changed to reflect the creation of a Backup file. The information should appear as follows:

   - Output File Name: A:\SARMAG
   - The Drive and Directory Box should show the <A> Drive selected
   - The File Type/Purpose should be Backup or Consolidation

   If you are saving to any other Drive and/or Directory, your options will be set to the following:

   - Output File Name: [Drive]:\[Directory]\BACKUP
   - The Drive and Directory Box should show the Drive and Directory you have selected
   - The File Type/Purpose should be Backup or Consolidation

3. At this point you would want to select the SARs to include in the BACKUP file. You have two options available to you, as described below:

   A. You may select the SARs from the data grid at the top of the screen. To accomplish this, use one of the following techniques:

      1. Click on the first SAR with the mouse and hold the mouse button down. Drag the mouse pointer to the last record that you want to include and then let the mouse button go. All the records between the first SAR selected and the last SAR selected should be highlighted.

      2. Click on the first SAR with the mouse and let the mouse button go. Hold down the ***SHIFT*** Key and move the mouse pointer to the last record that you want to include. Click on it with the mouse and then let the ***SHIFT*** Key go. All the records between the first SAR selected and the last SAR selected should be highlighted.

      3. Click on the first SAR with the mouse and let the mouse button go. Hold down the ***CTRL*** Key and move the mouse pointer over the next record that you want to include. Click on it with the mouse. Continue to do this until you have selected all the SARs that you want to include on the BACKUP file. After you have selected your last SAR, let the ***CTRL*** Key go. This method allows you to select SARs in any order. An example of this would be selecting the first, fifth and ninth SARs to include on the BACKUP file. Only those rows should be highlighted when this process has been completed.

B. You may select the SARs by using the date range feature at the bottom of the screen. You must input a Start and End Date in MM/DD/YYYY format.

4. To create the BACKUP file, you must click one of the ***Create*** Buttons that is displayed on the screen. If you selected SARs using the data grid, click the ***Create*** Button just beneath it. If you selected SARs using the date range feature, click the ***Create*** Button at the bottom of the screen.

5. If you already have a BACKUP file stored in the Drive and Directory location, a message will return from the system that states:

   "File '[DRIVE]:\[DIRECTORY]\SARMAG' Already exists. Do you want to replace it?"

   Click the ***Yes*** Button to overwrite the existing file. Click the ***No*** Button to cancel the operation.

6. Once the BACKUP file has been created, the system will return a message that states:

   "Your file ([DRIVE]:\[DIRECTORY]\BACKUP) has been created."

   Click the ***OK*** Button in the message box. The system will return to the ***Main Menu*** Screen.

Importing SARs

General Information:

- As discussed in the Creating SAR Diskettes chapter, this version of the software only creates files with two different filenames called SARMAG or BACKUP. Versions 1.0 and 2.0 of this software created two files called SARMAG and SAREXPOR. This version of the software replaces the SAREXPOR file name with the BACKUP file name. You may import files using any of the three file names (SARMAG, SAREXPOR, BACKUP). If you want to import records from a previous version of this software, go into the previous software program and run the option for exporting records (***Export to File*** from the File Menu). This will create a SAREXPOR file that you can then import into this version.

- Drives are the letters assigned to the different storage devices in your computer system. <A> typically stands for the Floppy Diskette Drive and <C> typically stands for the Hard Drive. For the remainder of this chapter, they will be referred to as <A> and <C>. Directories are file storage locations on Drives. A Directory can be thought of as a folder. Within each Directory or folder, you can store files. The complete structure of a filename is as follows:

  [Drive]:\[Directory]\FileName

- To see an example of this screen, please see Exhibit A.24

- This screen contains the following information:

Import File Name	Includes the File Name, along with the Drive and Directory locations.
Branch Information	Allows you to choose how you want to import branch default information. There are three options. The first option replaces the information already in your system with the information contained in the import file. The second option creates new branch default information records in the system and doesn't replace any existing records. The last option ignores the branch information in the import file.

How to Import SARs:

1. If you want to import the SARs from the <A> Drive, the easiest thing to do is to insert the diskette into the <A> Drive before you click on the ***Import SARs*** Button from the ***Main Menu*** Screen. The ***Importing SARs*** Screen will appear. The default option on this screen is to Import SARs that were created for mailing to the DCC. Because of this, the system automatically tries to access the <A> Drive of your computer system. If there is no diskette

present, an error message will return from the system that states:

"There is an error with your a: drive. This is probably because there is no diskette in that drive. You can put a diskette in the drive and re-select a:".

If the SARs that you want to Import are on a floppy diskette, put the diskette in the <A> Drive and then click the ***Retry*** Button. If the SARs that you want to Import are on the <C> Drive, click the ***Cancel*** Button.

2. If you are importing from the <A> Drive, the Drive and Directory should both have A: displayed. If you are importing from any other Drive and/or Directory, you need to select the Drive from the ***Drop-Down*** Drive Box/***Combo*** Drive Box. You can then select a Directory by double-clicking on any of the ones listed in the Directory box. If you don't see the one you are looking for, try scrolling down through the box by using the scroll bar on the right side of the box.

3. Once you have the Drive and Directory selected, the ***Files*** Box will list any file names in that location. You can then select a file by clicking on any of the ones listed in the ***Files*** Box. Remember, the only file names you should see in this box are SARMAG, SAREXPOR or BACKUP.

4. Once the file has been selected, you need to select the Branch Information Option. The last option, ignoring the Branch Information on the import file, is already selected by default. If you want to replace your existing Branch Information or Create new Branch Information Records, you must select option one or two. Once this is done, click the ***Import*** Button to begin importing records or the ***Cancel*** Button to return to the ***Main Menu*** Screen.

5. If you are importing prior version information or have changed your default Financial Institution Information, the system will return a message that states:

   "The records you are importing will have your default Financial Institution information associated with them, even though the Financial Institution information on your import file is different."

   This is only an information message. Since this software only allows one Financial Institution at a time, the default information currently stored in your system will be used when you create a new diskette for mailing or backup. Click the ***OK*** Button to continue.

6. Once the system is finished importing the records, a message will be displayed that states:

   "Import of version # file complete. # records read."

   The # after version will be a 1, 2 or 3, depending upon which version of the software your file was created from. The # before records will vary depending upon how many records were in the file. Click the ***OK*** Button to return to the ***Main Menu*** Screen.

Deleting SARs

General Information:

When you click on the ***Delete SARs*** Button from the ***Main Menu*** Screen, a data grid will appear that contains all of the SARs that you have previously created. The data grid contains the following information about each SAR:

Column	Information Displayed
Date	Lists the Date that the SAR was input into the system
Time	Lists the Time that the SAR was input into the system
Branch	Lists the Branch Code
Suspect Last Name	Displays the Last Name of the Suspect
Filed	Displays a Y if this SAR has been filed and sent to the DCC

To see an example of this data grid, please see Exhibit A.25

Sorting:

The data grid that is on the screen is similar to those you have encountered in other parts of the system. If desired, use the Buttons at the top of each column to sort the data. For an explanation on sorting, please see the sorting section in ***Retrieving an Old SAR*** or ***Printing SARs***.

How to Delete a single SAR:

1. Click on the ***Delete SARs*** Button from the ***Main Menu*** Screen.
2. Click on any SAR in the data grid to highlight it.
3. Click on the ***Delete*** Button to delete the SAR, or click the ***Cancel*** Button to return to the ***Main Menu*** Screen.
4. The ***Deletion Confirmation*** Dialog Box will appear. Click the ***Yes*** Button if you really want to delete the SAR, otherwise click the ***No*** Button. If you click the ***Yes*** Button, a message will return from the system that states “All selected SAR records have been deleted.”. Click the ***OK*** Button in the message box. The system will return to the ***Main Menu*** Screen. If you click the ***No*** Button, a message will return from the system that states “Deletion Cancelled.”. Click the ***OK*** Button in the message box. Click the ***Cancel*** Button to return to the ***Main Menu*** Screen.

How to Delete multiple SARs:

1. Click on the ***Delete SARs*** Button from the ***Main Menu*** Screen
2. Click on multiple SARs in the data grid to highlight them. To select multiple SARs, use one of the following techniques:
   A. Click on the first SAR with the mouse and hold the mouse button down. Drag the mouse pointer to the last record that you want to print and then let the mouse button go. All the records between the first SAR selected and the last SAR selected should be highlighted.
   B. Click on the first SAR with the mouse and let the mouse button go. Hold down the ***SHIFT*** Key and move the mouse pointer to the last record that you want to print. Click on it with the mouse and then let the ***SHIFT*** Key go. All the records between the first SAR selected and the last SAR selected should be highlighted.
   C. Click on the first SAR with mouse and let the mouse button go. Hold down the ***CTRL*** Key and move the mouse pointer over the next record that you want to print. Click on it with the mouse. Continue to do this until you have selected all the SARs that you want to print. After you have selected your last SAR, let the ***CTRL*** Key go. This method allows you to select SARs in any order. An example of this would be selecting the first, fifth and ninth SARs to print. Only those rows should be highlighted when this process has been completed.
3. Click on the ***Delete*** Button to delete the SARs, or click the ***Cancel*** Button to return to the ***Main Menu*** Screen.
4. The ***Deletion Confirmation*** Dialog Box will appear. Click the ***Yes*** Button if you really want to delete the SARs, otherwise click the ***No*** Button. If you click the ***Yes*** Button, a message will return from the system that states “All selected SAR records have been deleted.”. Click the ***OK*** Button in the message box. The system will return to the ***Main Menu*** Screen. If you click the ***No*** Button, a message will return from the system that states “Deletion Cancelled.”. Click the ***OK*** Button in the message box. Click the ***Cancel*** Button to return to the ***Main Menu*** Screen.

Appendix A

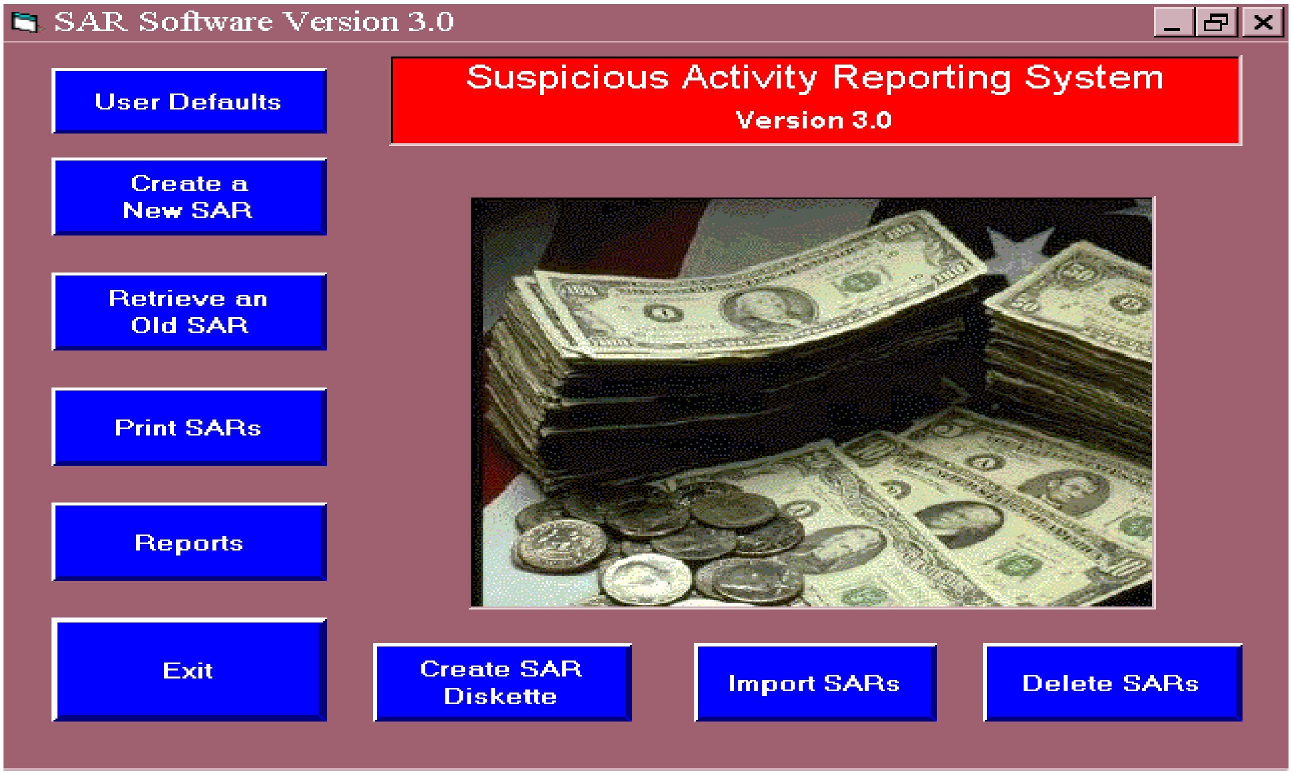


Exhibit A.1

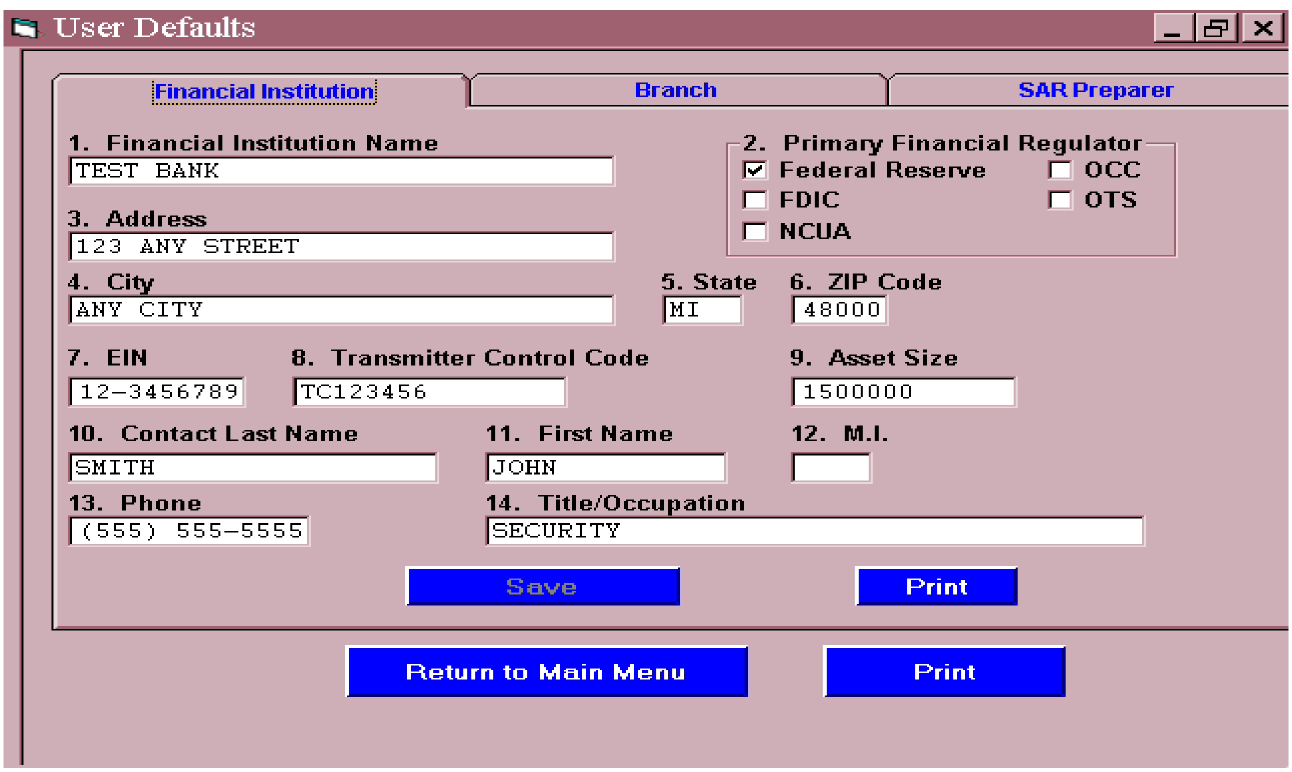


Exhibit A.2

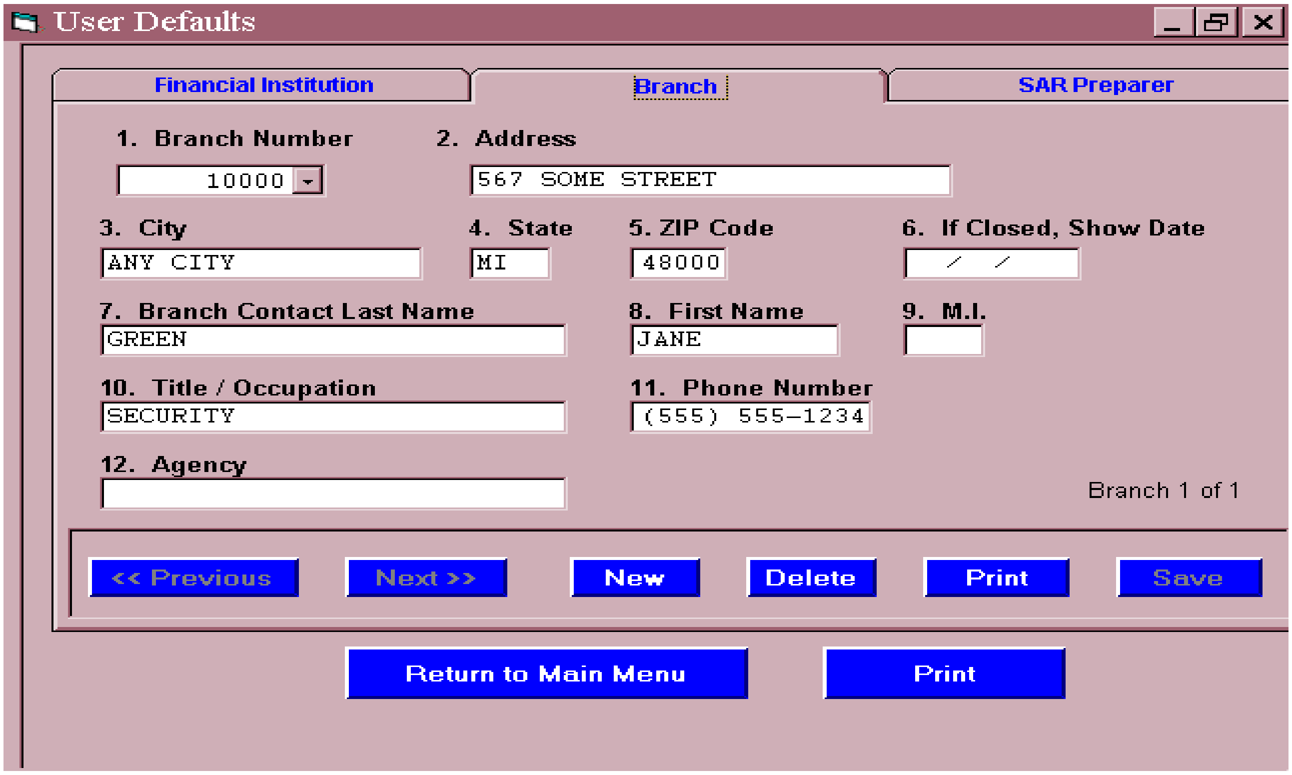


Exhibit A.3

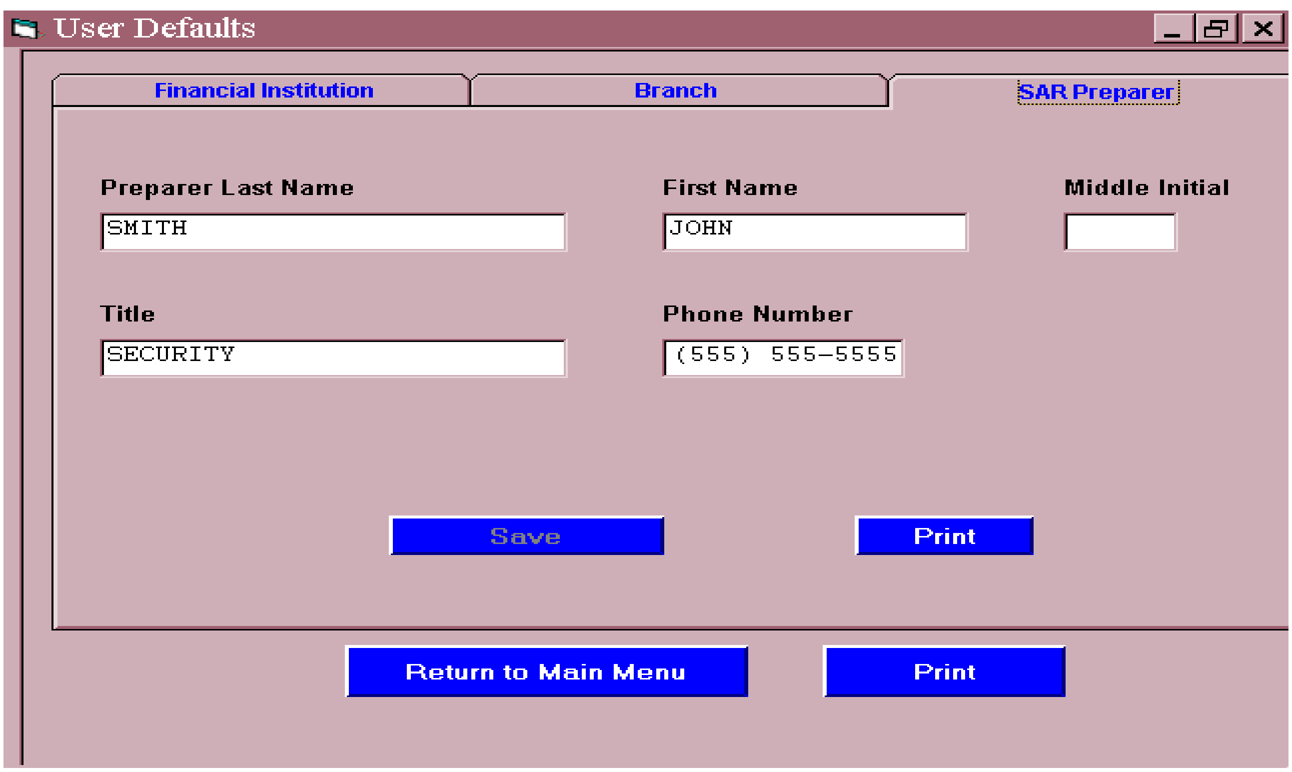


Exhibit A.4

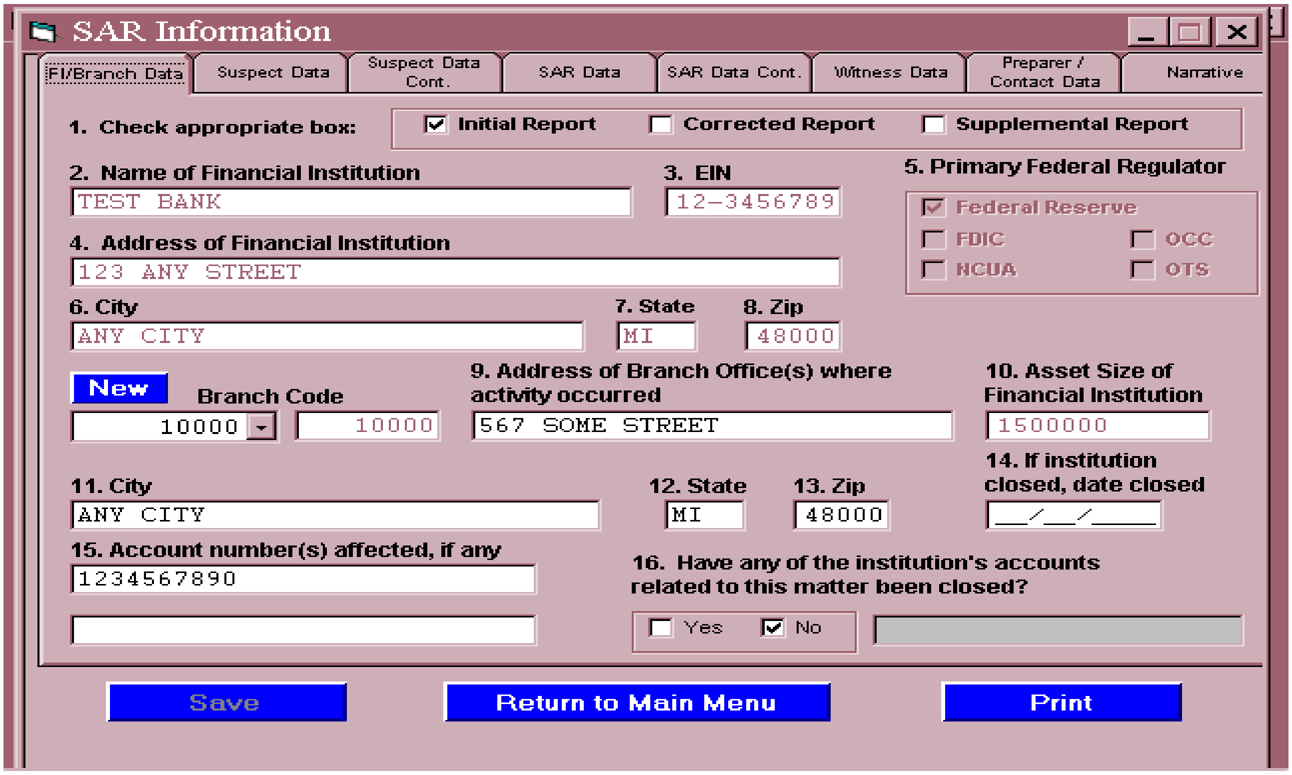


Exhibit A.5

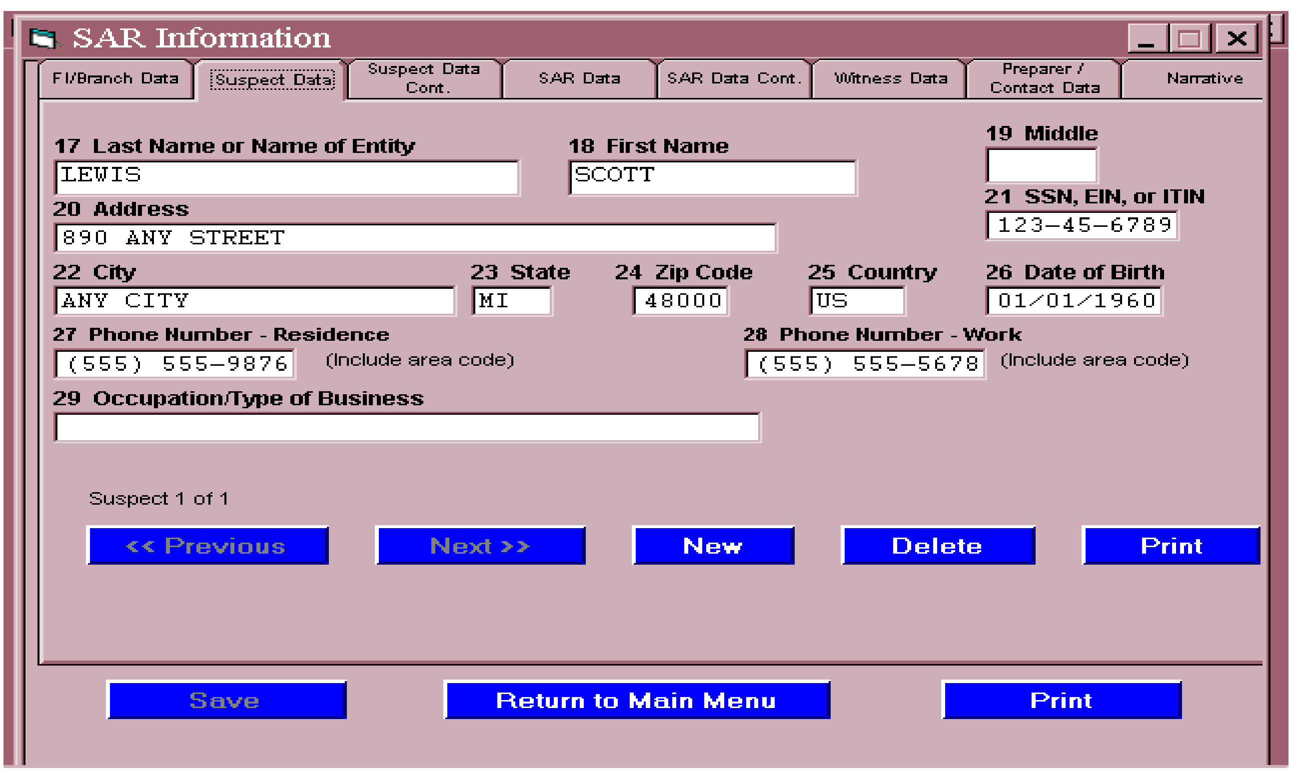


Exhibit A.6

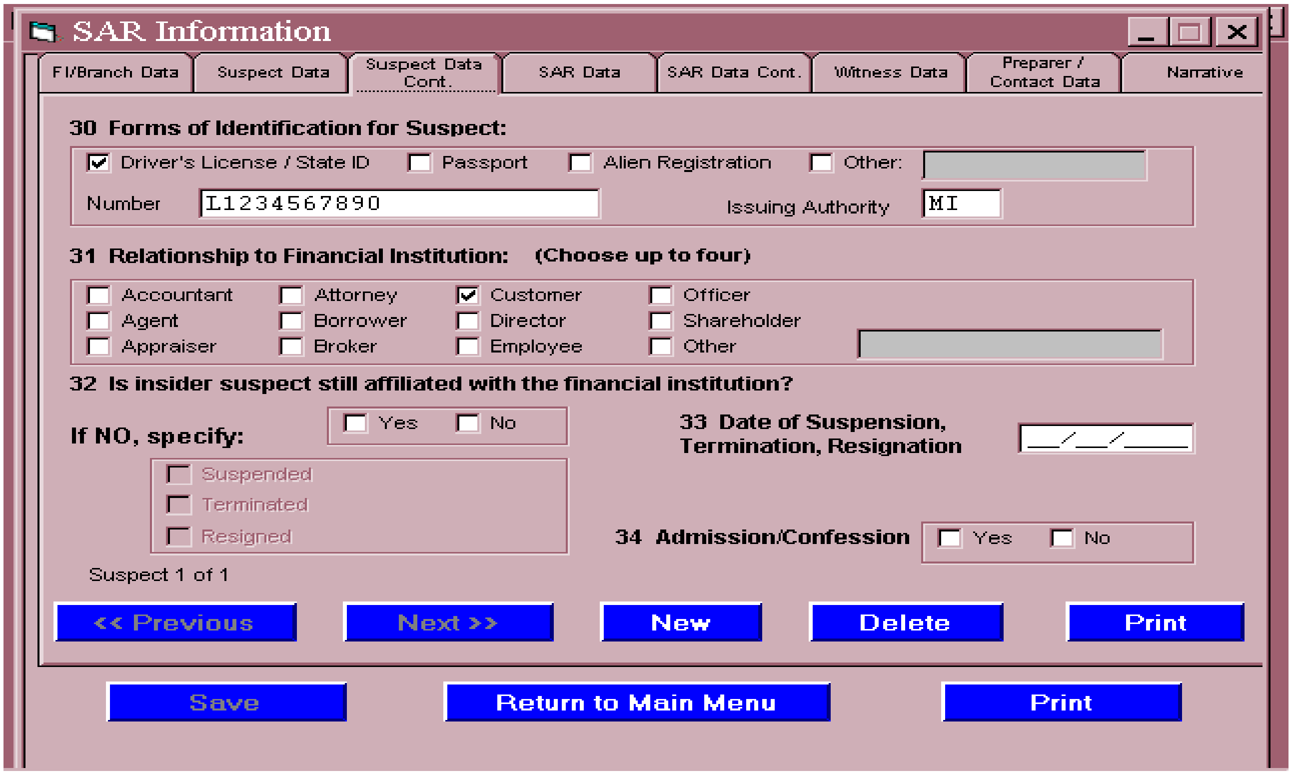


Exhibit A.7

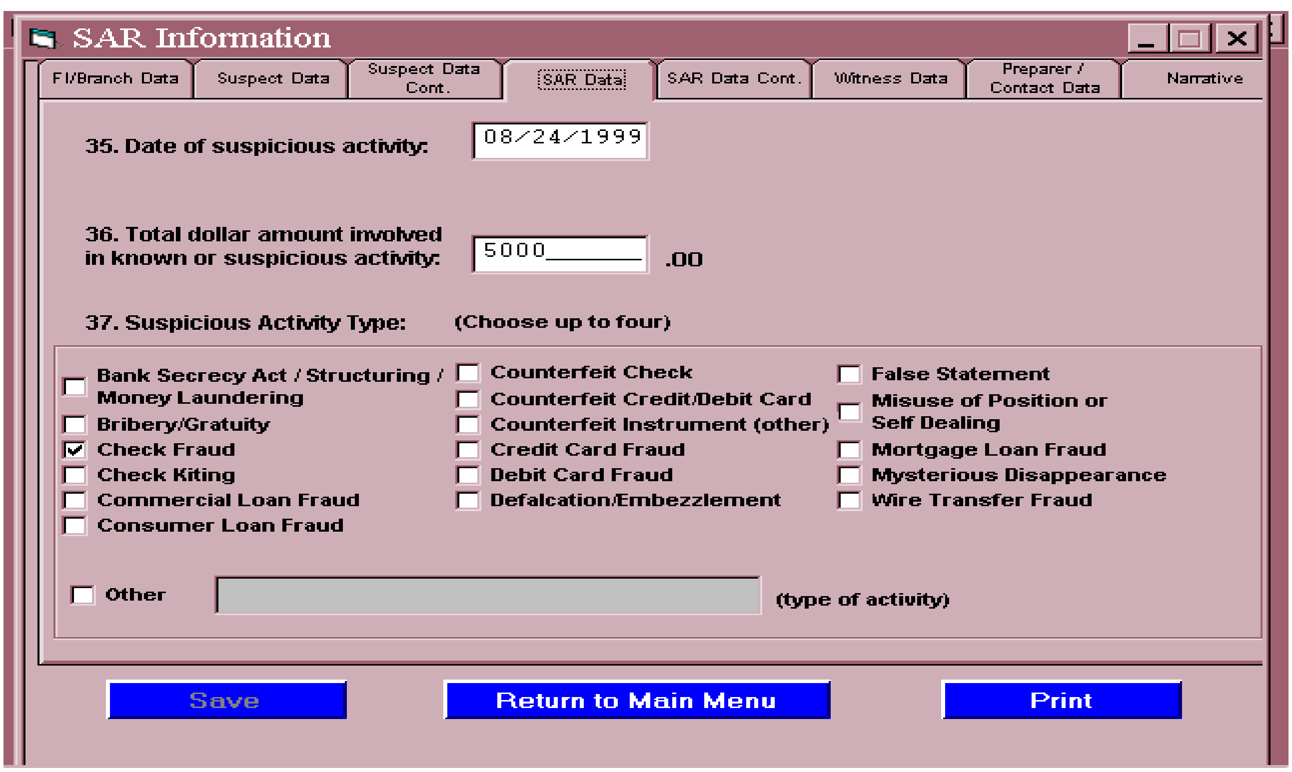


Exhibit A.8

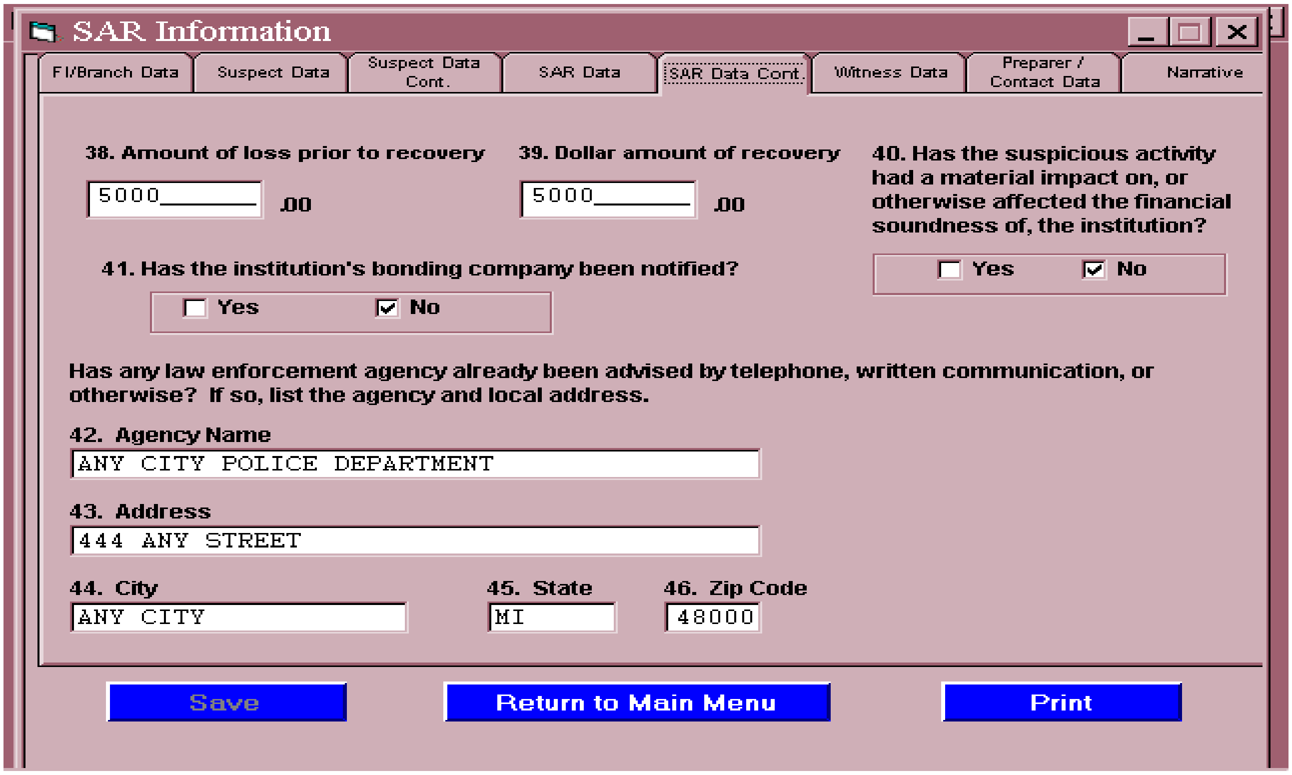


Exhibit A.9

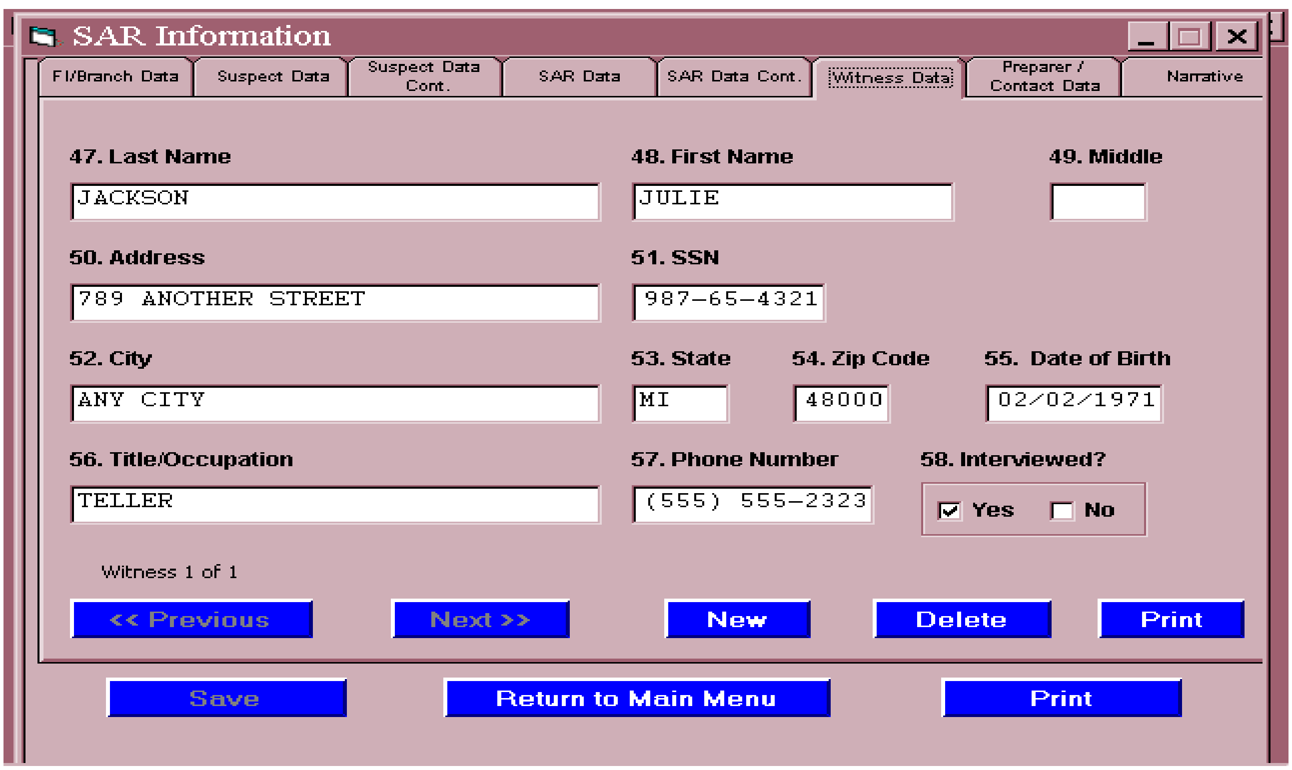


Exhibit A.10

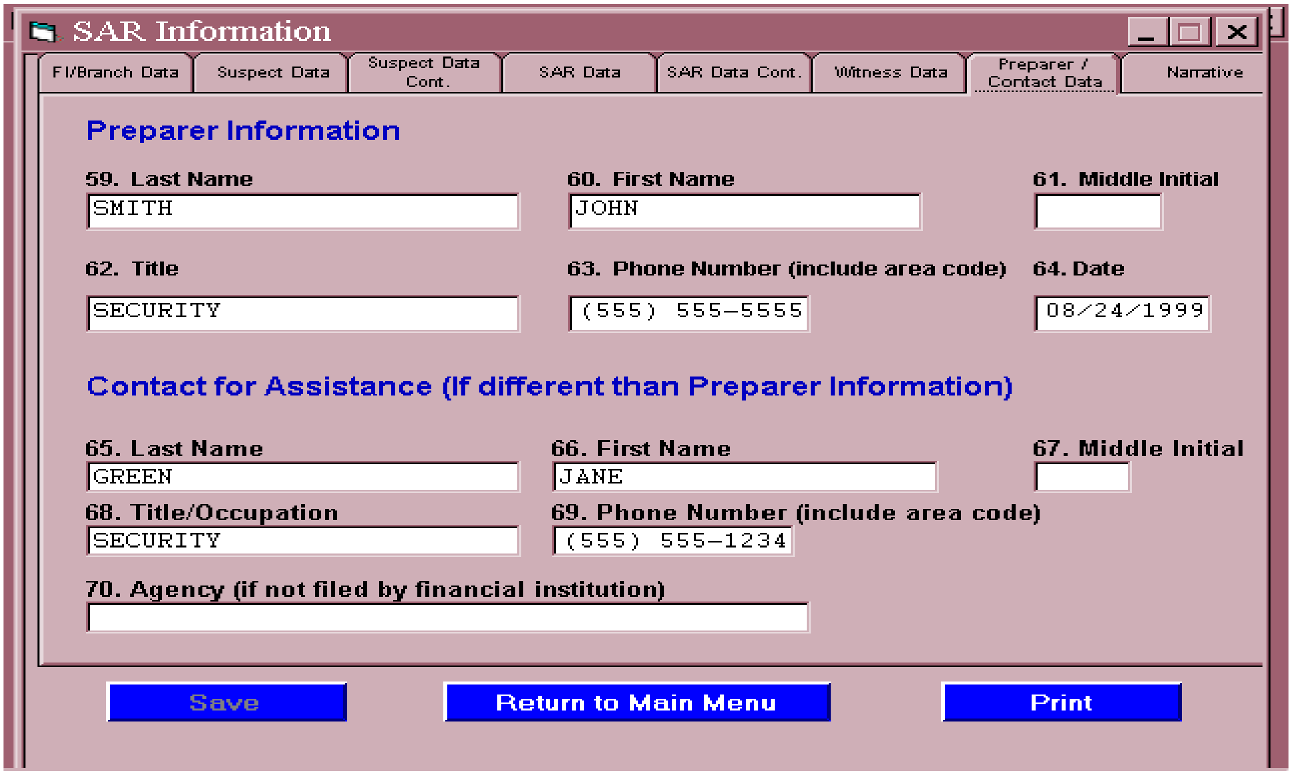


Exhibit A.11

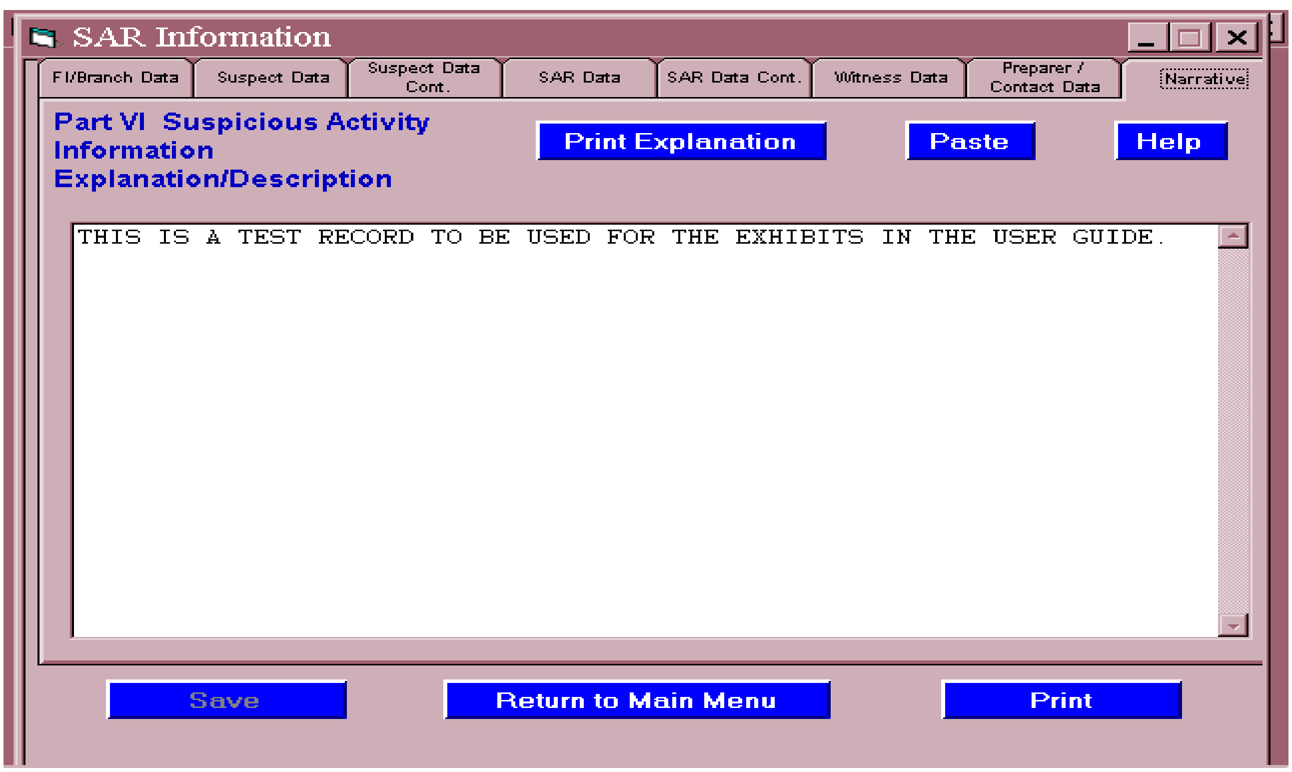


Exhibit A.12

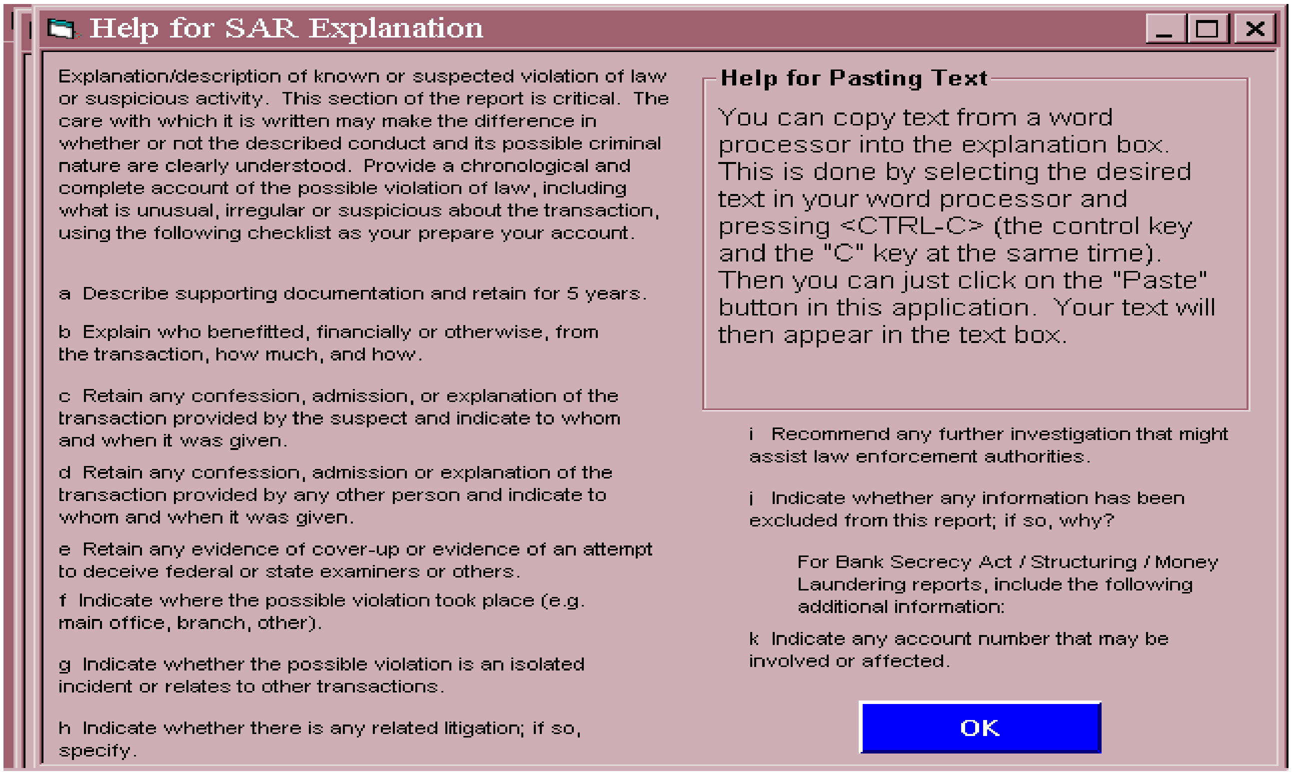


Exhibit A.13

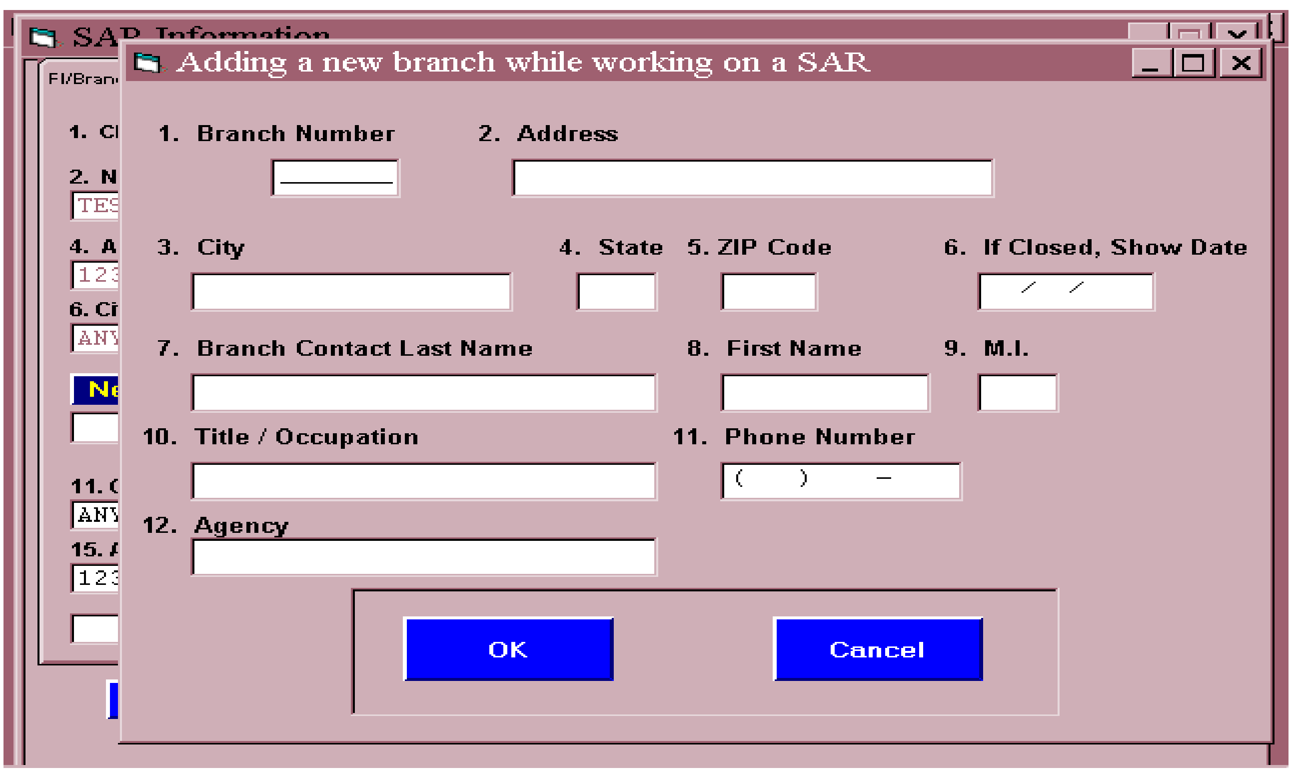


Exhibit A.14

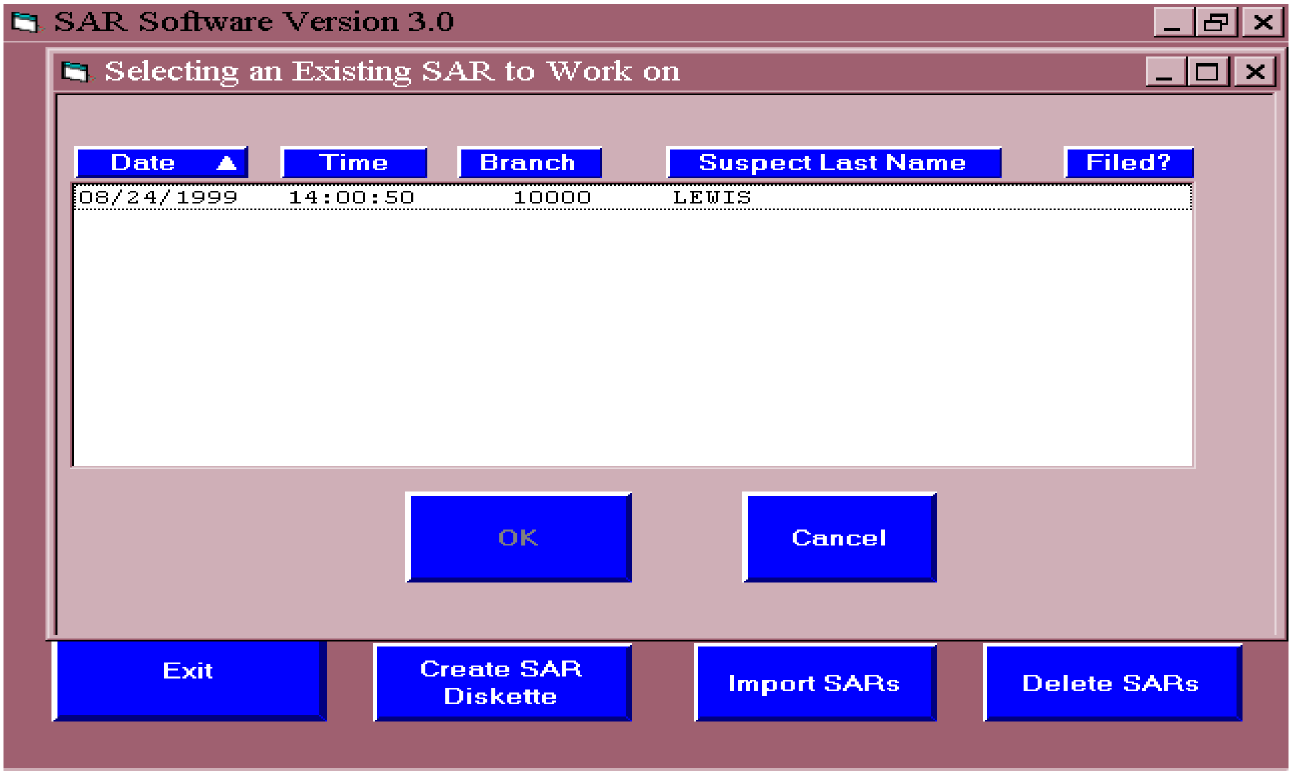


Exhibit A.15

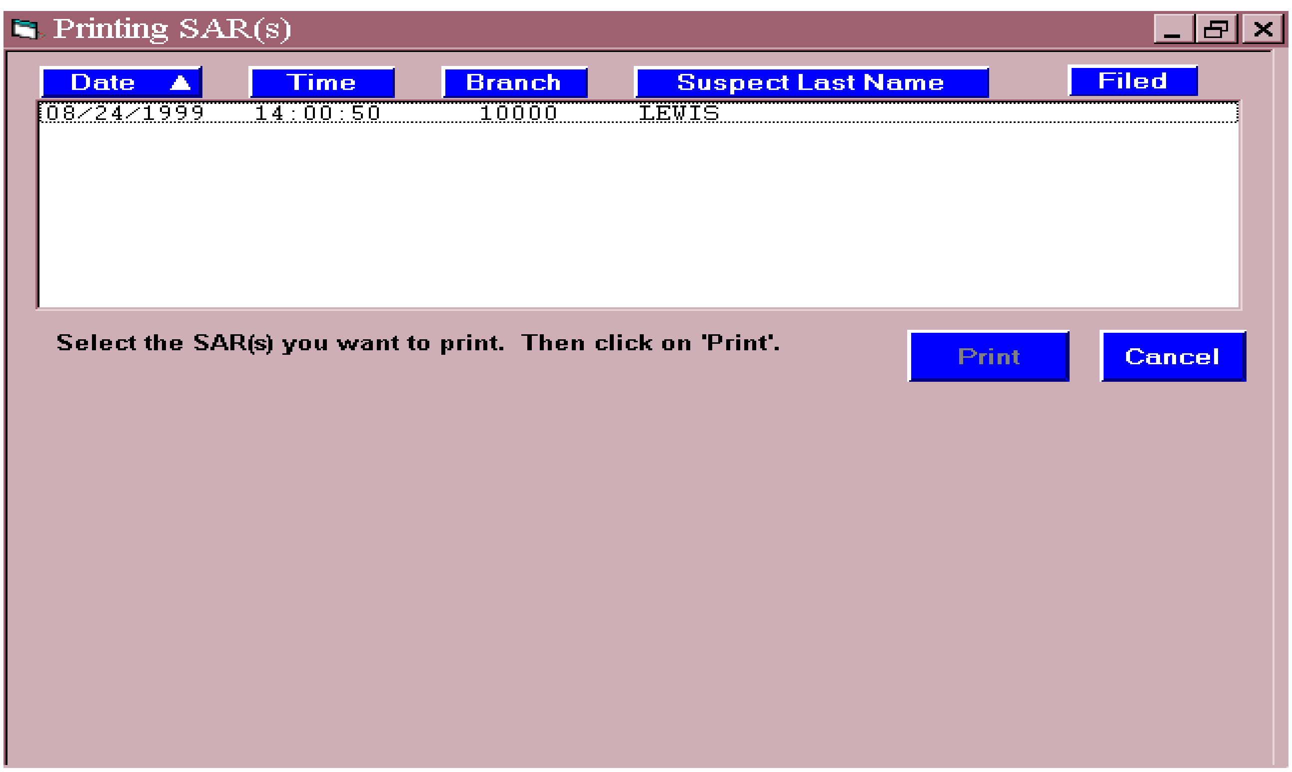


Exhibit A.16

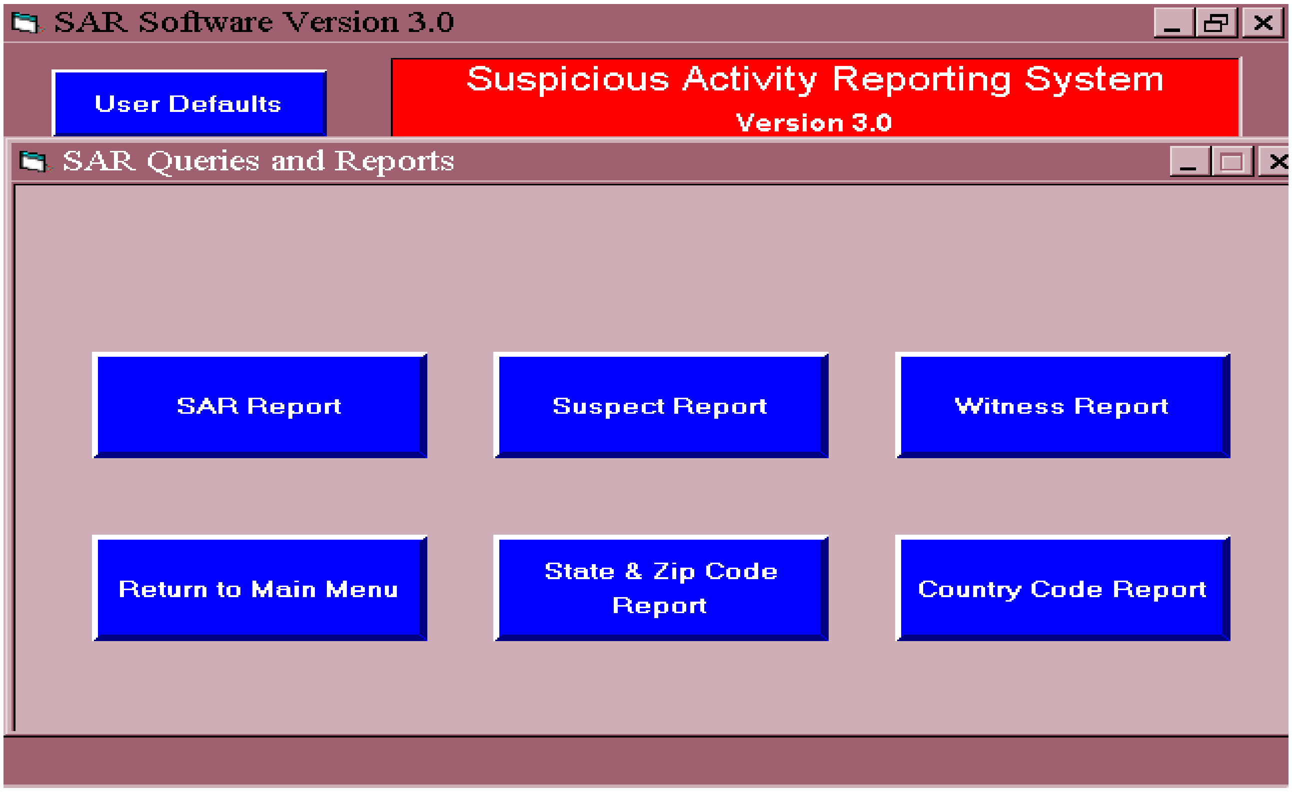


Exhibit A.17

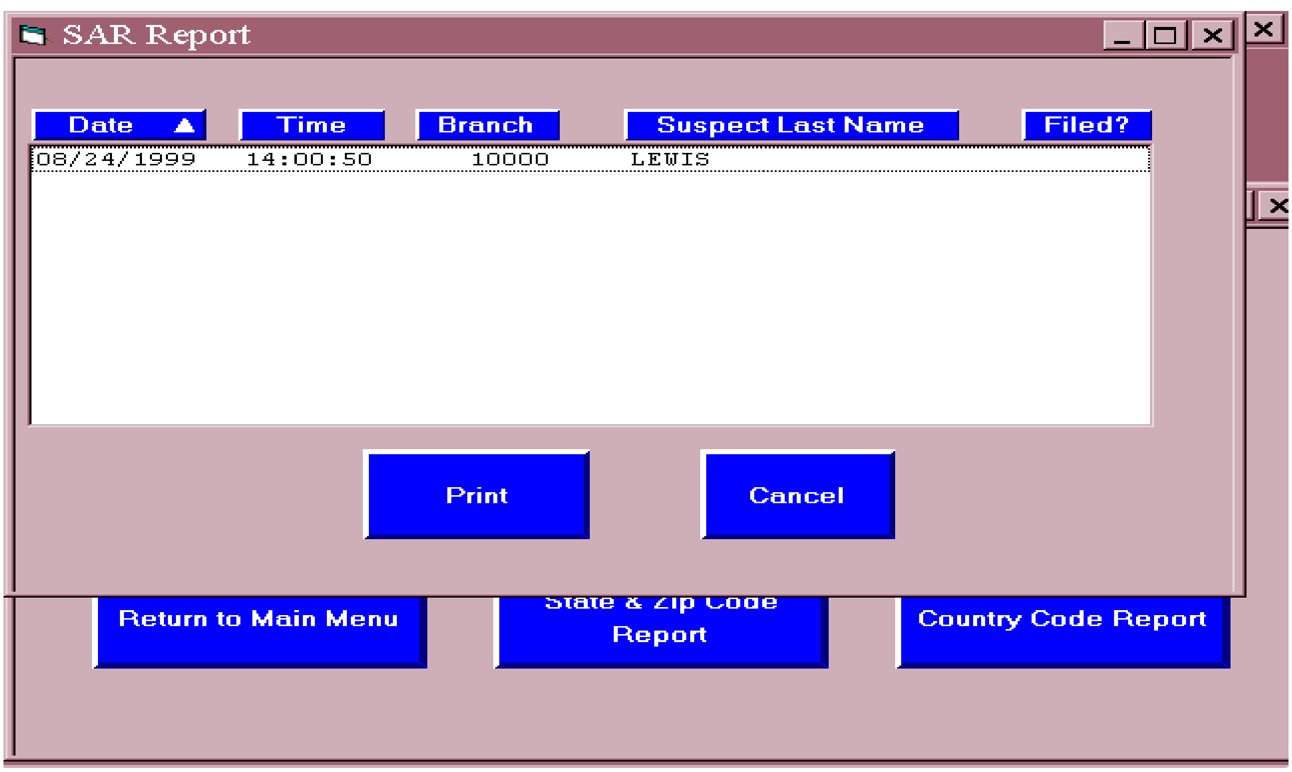


Exhibit A.18

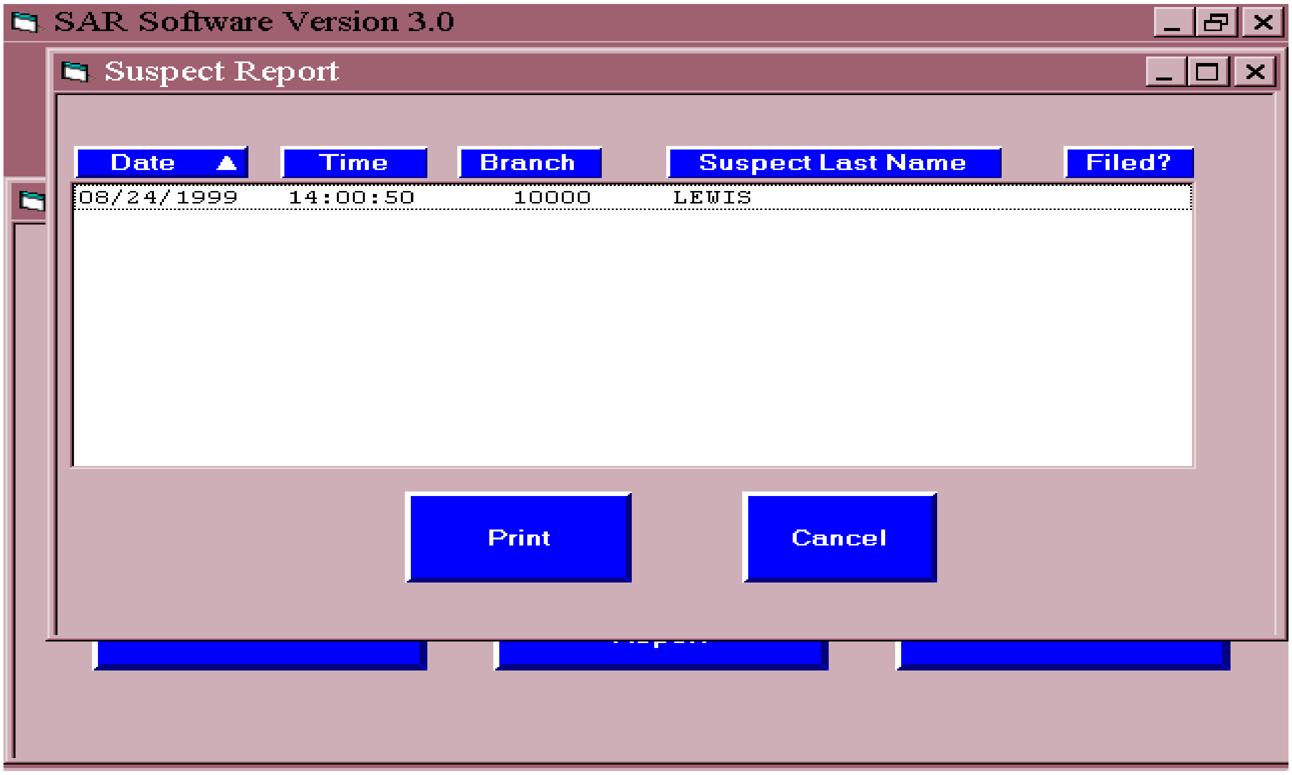


Exhibit A.19

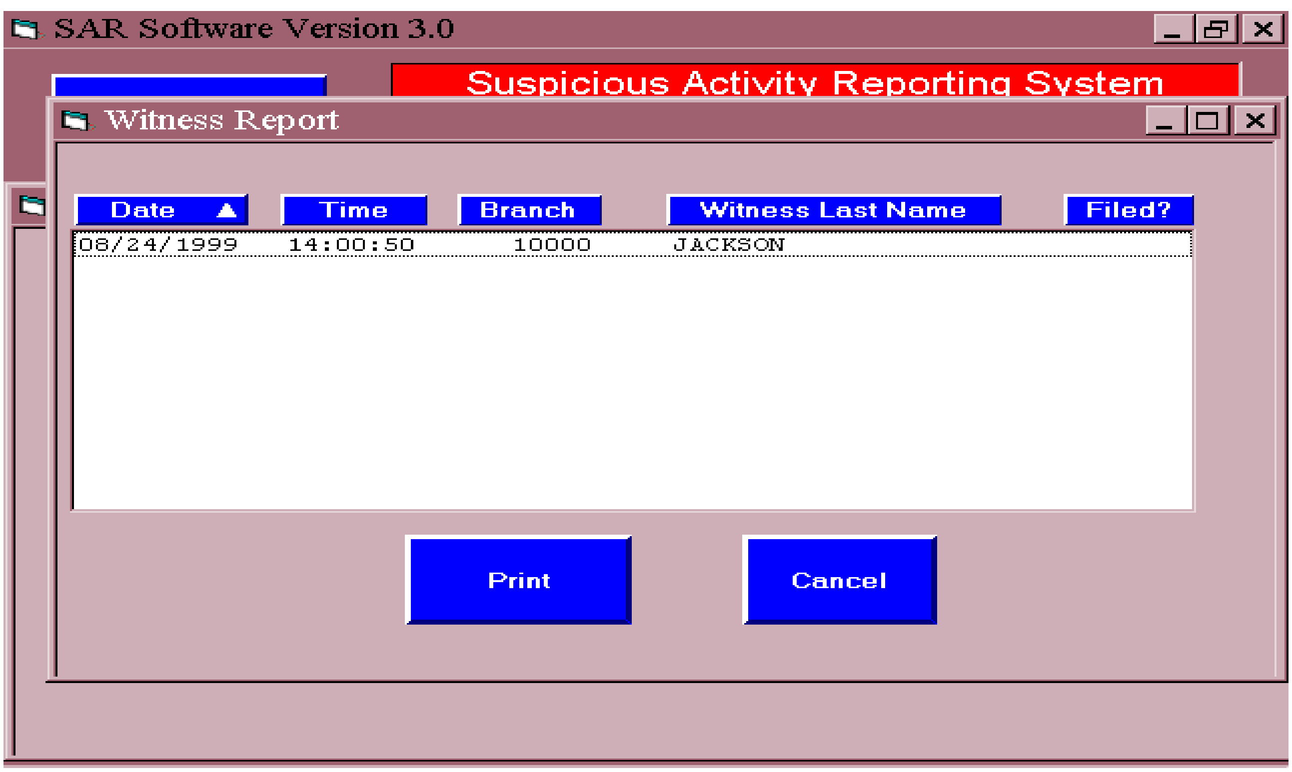


Exhibit A.20

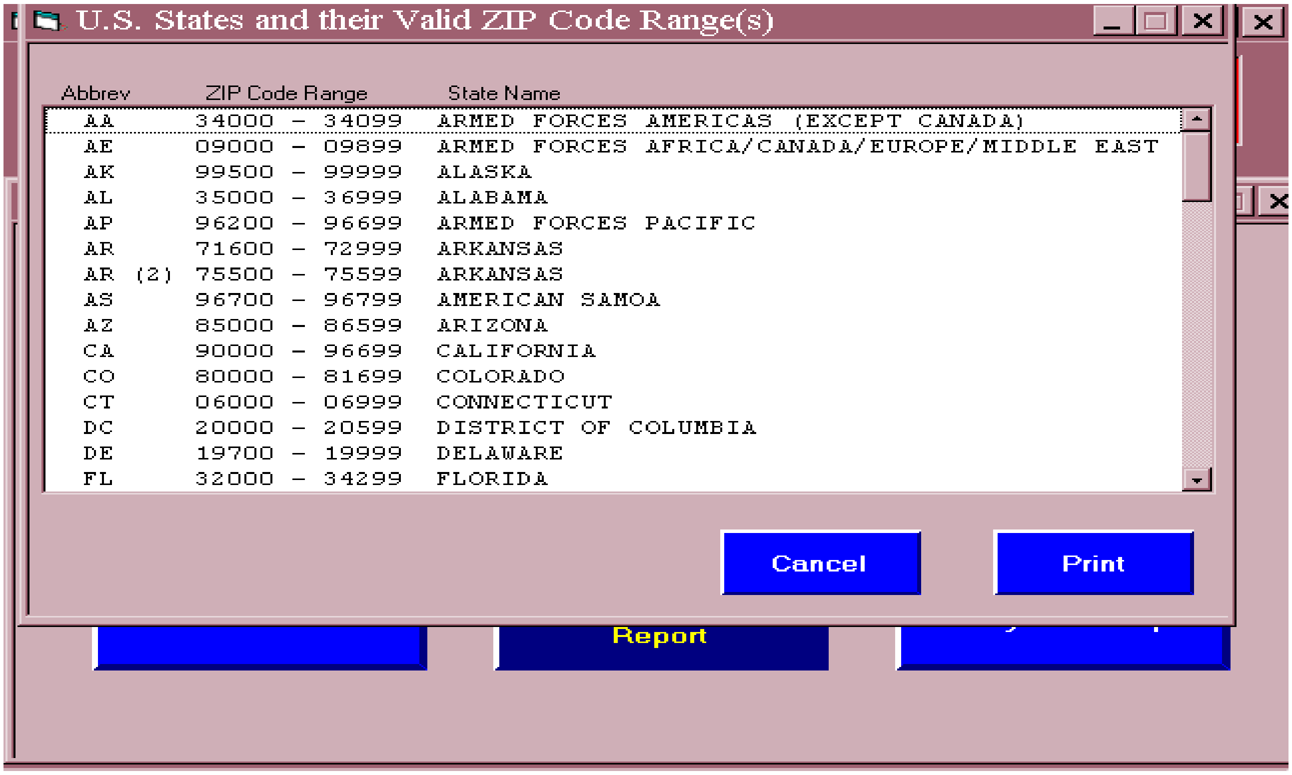


Exhibit A.21

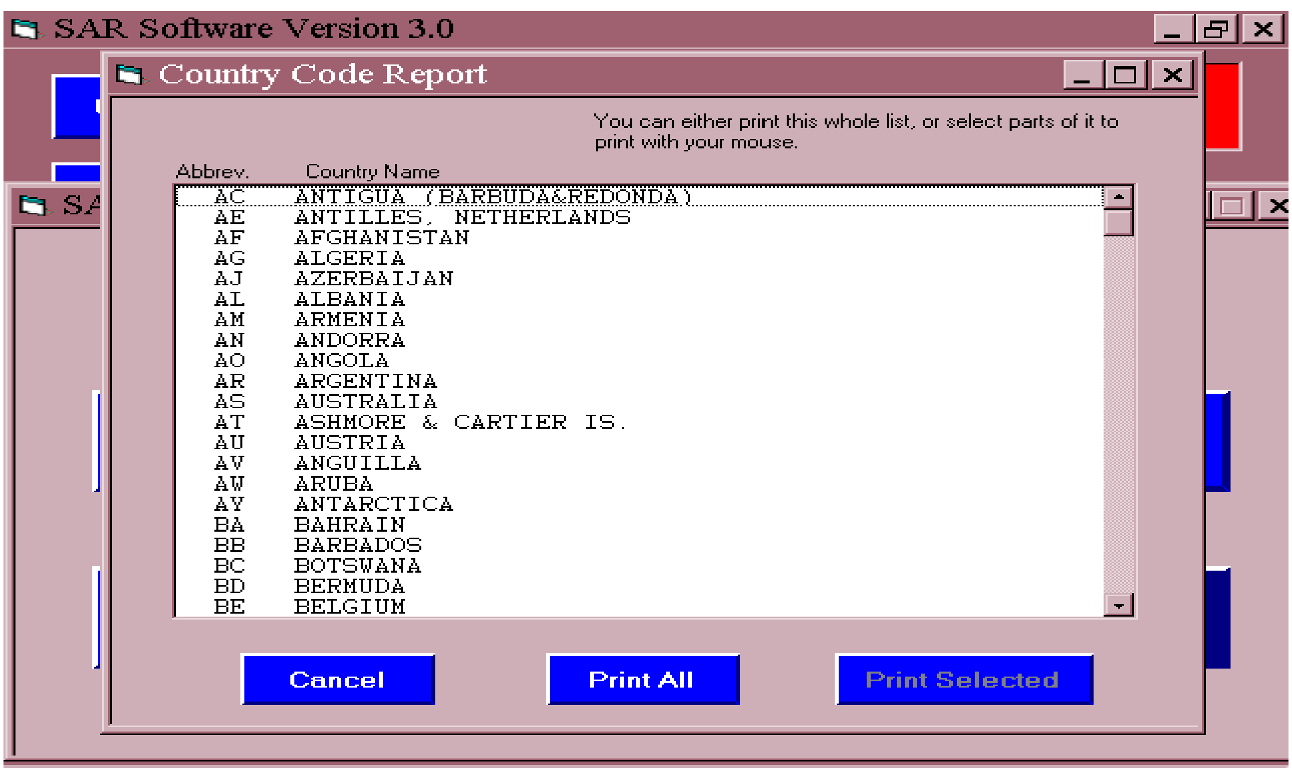


Exhibit A.22

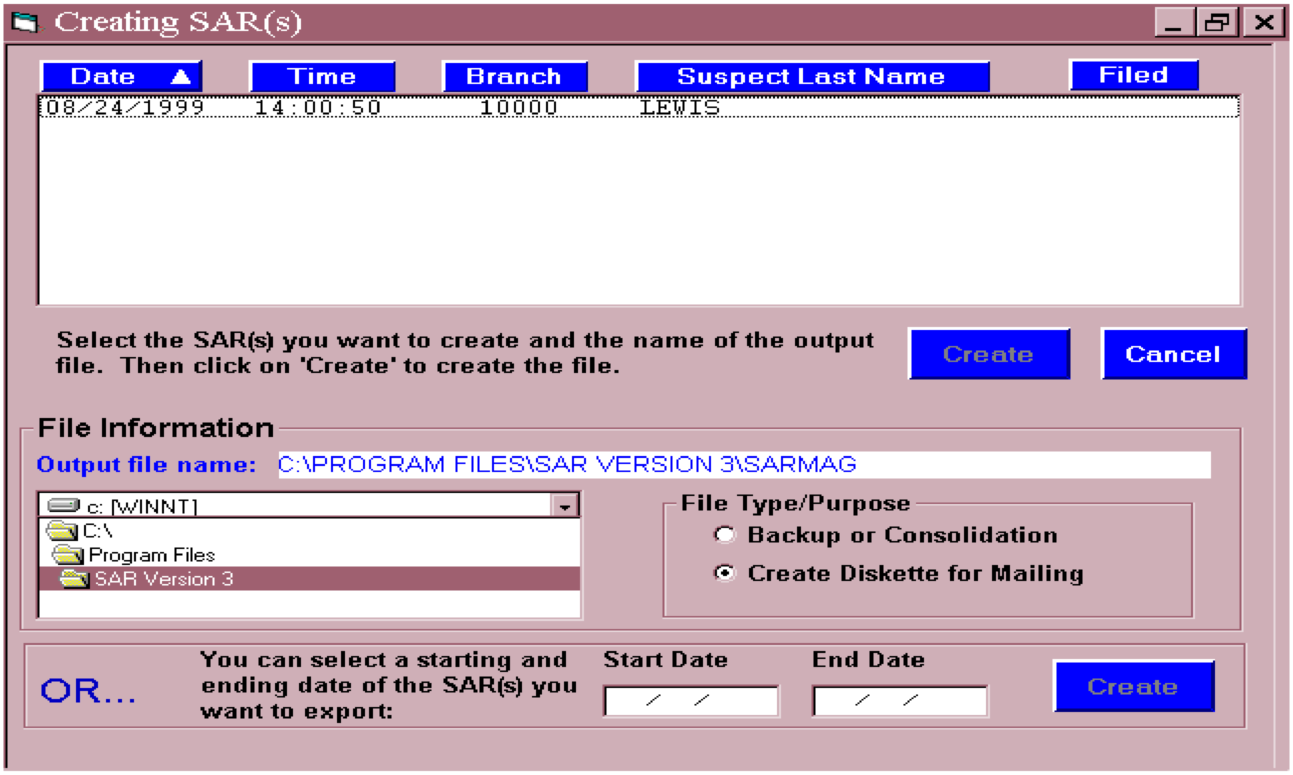


Exhibit A.23

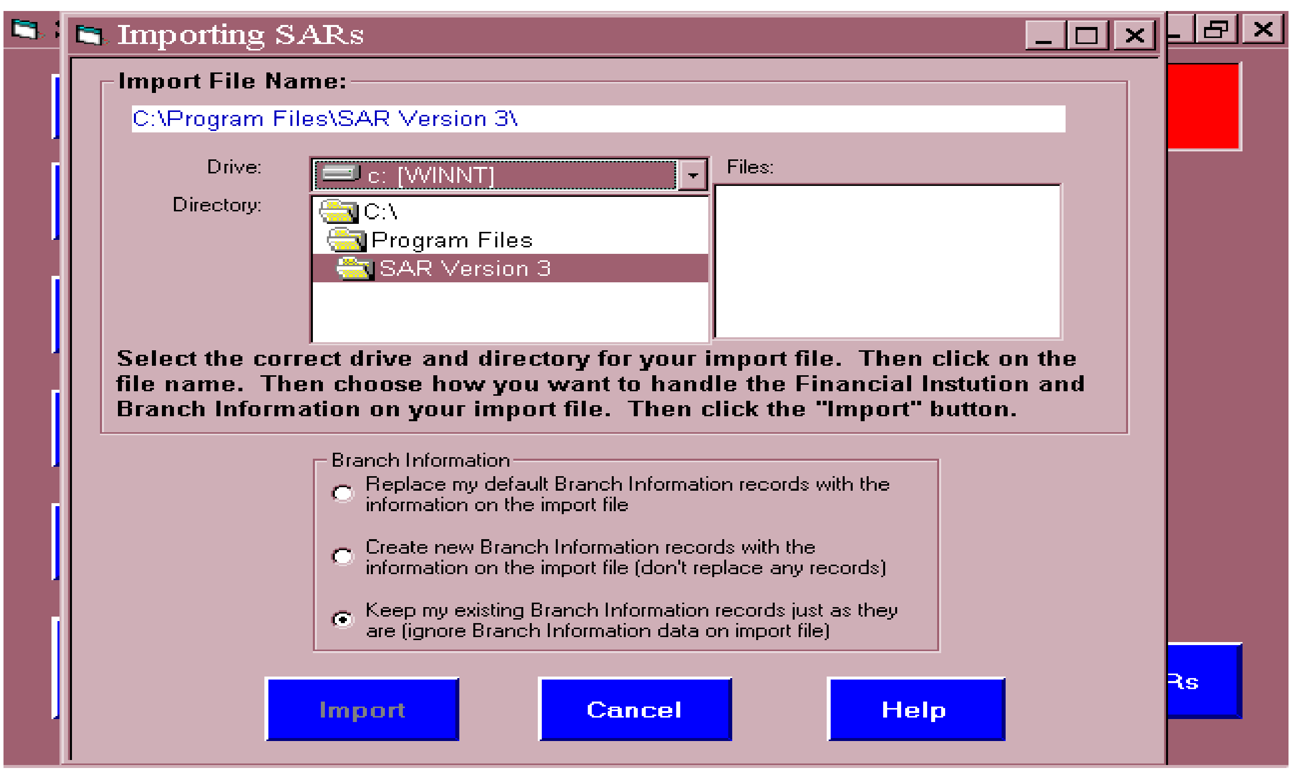
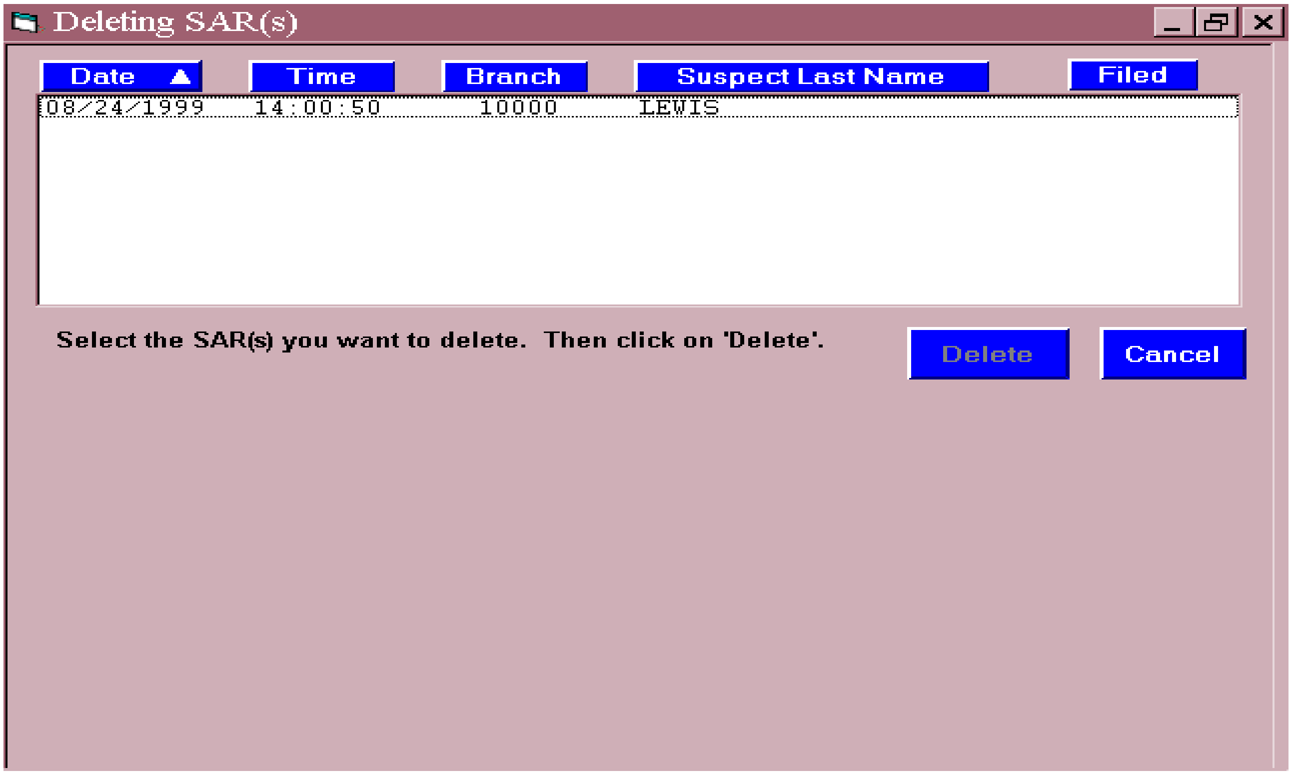


Exhibit A.24



Deleting SAR(s)
Date
Time
Branch
Suspect Last Name
Filed
08/24/1999 14:00:50 10000 LEWIS
Select the SAR(s) you want to delete. Then click on 'Delete'.
Delete
Cancel

Exhibit A.25

Internal Use
TCC Code

FORM DCC-4419A

Application for Magnetic Reporting of Suspicious Activity Report (SAR)

1. Name and address of organization (street, city, state, zip code)

2. Person to contact about this request

Name

Title

Telephone Number: (Include area code)

3. Employer Identification Number (EIN)

4. Calendar year for which you will begin to file on magnetic media

(MM/YYYY)

5a. Transmitter name and address if different from item 1

5b. Employer Identification Number (EIN)

5c. Transmitter control code (TCC)

6. Type of magnetic media to be used:

☐ 5 1/4" Diskette ☐ 3 1/2" Diskette

7. Person responsible for DCC-Form 4419a

7a. Name	7b. Title
7c. Signature	7d. Date

(MM/DD/YYYY)